



# Protecting Your Assets at MF Global

Commodity Futures and Options

**MF**Global®

# Protecting Your Assets at MF Global

## Client Assets Entrusted to MF Global: Transparent. Segregated. Protected.

MF Global is dedicated to preserving the safety and security of your assets.<sup>1</sup> Through our internal safeguard policies and a strict adherence to the law, our goal is to protect your interests in every aspect of our relationship.

### When You Trade Futures

To ensure the integrity of your funds, MF Global follows stringent rules to separate your futures transaction assets from those used to fulfill MF Global's own obligations or liabilities. We hold client assets in a separate account that is legally and physically distinct from our own accounts. This client asset account is subject to rigorous accounting processes as well as regulatory reporting and auditing.

*Exacting accounting standards and internal supervision protocols protect the integrity of client assets.*

At all times, MF Global possesses the necessary funds to satisfy our own obligations to clients trading both foreign and domestic futures and options. For non-U.S. clients trading foreign futures or options through MF Global, we have instituted identical procedures, going above and beyond the requirements of U.S. law.<sup>2</sup>

### Regulatory Protections for Your Assets: FDIC Insurance

When you transfer assets to MF Global, we place those funds in an account at a bank insured by the Federal Deposit Insurance Corporation (FDIC). The bank designates this account as a separate "client omnibus account" and keeps the assets in this account completely segregated from accounts that hold the funds and investments of MF Global. FDIC rules provide that each such client is entitled to an insurance payment of up to \$250,000 in the event that a bank holding an MF Global client omnibus account fails.

For additional information about FDIC coverage, visit [www.fdic.gov](http://www.fdic.gov).

<sup>1</sup> MF Global Inc. ("MF Global") is in full compliance with all of the laws, rules, and regulations regarding the treatment of client funds, including the relevant provisions of the Commodity Exchange Act, the Securities Exchange Act of 1934, and the rules and regulations of the Commodity Futures Trading Commission (CFTC) and the U.S. Securities and Exchange Commission (SEC). For more information, visit [www.cftc.gov/lawandregulation/index.htm](http://www.cftc.gov/lawandregulation/index.htm).

<sup>2</sup> For more information, visit [www.cftc.gov/lawandregulation/index.htm](http://www.cftc.gov/lawandregulation/index.htm).

## When You Make Securities Transactions

MF Global enforces a strict policy on the segregation of funds so that your assets may not serve as capital for MF Global's own financial obligations. We preserve the distinction between your assets and ours by holding your cash and securities within special reserve bank accounts established for the exclusive benefit of clients.<sup>3</sup>

Exact accounting standards and internal supervision protocols govern these accounts to protect the integrity of client assets and separate them from those of MF Global.<sup>4</sup>

*MF Global strives to protect your interests in every aspect of our relationship.*

- *Highest ethical and legal standards*
- *Stringent accounting processes*
- *Aggressive, client-focused policies*

### **Regulatory Protections: SIPC Insurance**

Client securities assets held in special reserve bank accounts fall under the oversight of the Securities Investor Protection Corporation (SIPC). In the event of the liquidation or bankruptcy of MF Global, any securities registered in your name would be returned to you. The SIPC provides insurance coverage for any additional, unsatisfied securities claims of up to \$500,000 per client, with a limit of \$100,000 for cash (non-securities) claims.

For additional information about SIPC protection, visit [www.sipc.org](http://www.sipc.org).

## MF Global's Enduring Financial Strength

At MF Global, clients benefit from our 225-year track record of financial strength, stability, and dependability. MF Global Holdings Ltd. (NYSE: MF) is the largest futures and options broker in the world, operating in countries around the globe on more than 70 exchanges and leading by volume in many of these markets. We rank among the top firms in execution and clearing services for exchange-traded and over-the-counter derivative products as well as for non-derivative foreign exchange, equities, and fixed income products in the cash market.

MF Global Inc. is the principal subsidiary of MF Global Holdings Ltd. that does business with the public in the U.S. and holds client assets in custody. It is registered as a futures commission merchant (FCM) with the U.S. Commodity Futures Trading Commission (CFTC) and as a broker-dealer with the U.S. Securities and Exchange Commission (SEC). Above and beyond the CFTC and SEC requirements that customer funds be segregated from those of the brokerage firm, both agencies require that firms maintain a minimum amount of capital to further protect clients. As a brokerage firm that is registered with both the CFTC and the SEC, MF Global must have sufficient capital to comply with the greater amount either agency requires.

*MF Global has consistently served clients with unwavering integrity and reliability. We answer clients' trust in us with a profound dedication to safeguarding client assets to the highest level.*

<sup>3</sup> For more information, visit [www.sec.gov/about/laws.shtml](http://www.sec.gov/about/laws.shtml).

<sup>4</sup> The balance maintained in the client reserve account is calculated weekly using a specific reserve formula designated by U.S. law.

# Your Assets at MF Global Are Protected by Multi-Level Safeguards

*At MF Global, clients benefit from our 225-year track record of financial strength, stability, and dependability.*

## Stability

Stability based on 225 years of experience.

## Separation

Strict physical separation of client assets from MF Global accounts.

## Protection

FDIC insurance for all clients with assets deposited into banks via MF Global.

SIPC insurance for all clients with securities accounts.



## Contact Us

If you have any questions about the safety of your assets with MF Global, please contact us:

[cs@mfglobal.com](mailto:cs@mfglobal.com)

+1 866 397 3326 (toll-free)

+1 312 548 2210 (outside the United States)

**Disclaimer:** Approved for distribution in the United States. Please be aware that this description of various legal requirements is for general informational purposes only and is not intended as legal advice from MF Global Inc. The rules governing futures and securities trading and the treatment of client funds are complex, and clients should always consult their own legal counsel in such matters. In addition, the Securities Investor Protection Corporation (SIPC) does not protect assets that are not securities, such as commodities or foreign exchange and futures contracts.

Trading in financial instruments may involve significant risk of loss. Nothing contained herein should be considered as an offer or the solicitation of an offer to sell or to buy any financial instruments.