

Gar Wood Securities – Best Among Mini-Prime Brokers

(Results of Global Custodian 2010 Annual Survey)

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Gar Wood Securities, LLC took top honors among the mini-prime brokers in the 2010 Global Custodian annual prime brokerage survey, finishing first in 6 of 11 categories. Gar Wood had a strong showing versus competition – earning first place in total points, as well as in the critical areas of client service, financing, securities lending, operations and margin lending. Overall, Gar Wood showed the most consistent performance among the mini-prime brokers with very strong marks for consulting services, cap intro and overall value.

As one respondent wrote of Gar Wood: “They are a wonderful prime broker.” “They really care about their clients and are always protecting their clients’ best interests.”

Client numbers are up again this year, and so is the rate of response. Though there is no overlap with the respondents of 2009, scores are up in all but a handful of questions, to levels that mark excellence in all services save the linked areas of reporting and technology and the challenging domain of cap intro. “

Without question is the caliber of client service delivered by Gar Wood: It earns one of the best scores in the entire survey.

“Incredible customer service and reaction time,” writes a client. “Lightning turnaround on client requests,” adds a second. A third says they like Gar Wood so much the firm maintained the relationship even after closing its hedge funds (since reopened). “Hands-on, no-nonsense firm,” concludes one small fund. “Honest and capable.”

Other mini-prime brokers evaluated in the survey included: Alaris Trading Partners, BNY/North Point Trading Partners, Merlin Securities and RBC Capital Markets.

Gar Wood Securities, LLC, is a boutique investment banking firm providing money managers and professional traders with a comprehensive suite of Prime Brokerage Services, including global trade execution and custody, consolidated portfolio and performance reporting and third party marketing. The firm trades solely on an agency basis – avoiding any conflicts of interest – and provides clients with direct market access to all major global markets and ECNs covering equities, options, and futures. Formed in 2003, the firm has offices in Chicago, Dallas, Mobile, Milwaukee, New York and Vancouver, WA. Gar Wood Securities, LLC is a member of FINRA, SIPC, and NFA.

Additional information about Gar Wood Securities, LLC is available at www.garwoodsecurities.net.

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