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Q Describe your firm, its offerings and its mission.

Folio Institutional is a division of FOLIOfn Investments, Inc. Founded in 1999 by Steven M.H. Wallman, a former Commissioner of the U.S. Securities and Exchange Commission ("SEC"), the company has been a self-clearing broker-dealer and a direct member of The Depository Trust & Clearing Corporation ("DTCC") since 2001. Today, it provides custody and brokerage services for billions of dollars of investor assets, and hundreds of registered investment advisors. Folio Institutional is an ideal match for advisors seeking an established, well-respected custodian, and a cost-effective portfolio management, trading, investment, and high-end client services platform.

Q Describe your investment strategy and how it might be unique.

Folio Institutional delivers a fully integrated trading and portfolio management platform that allows advisors to manage hundreds, or even thousands of client accounts in the time it would normally take to manage one. Solutions include model management and synchronization tools that automatically account for individual client preferences such as advanced tax strategies and social, sector and stock exclusions. The vertically integrated platform combines brokerage, custody, portfolio accounting, fee billing, compliance reports, online proxy voting, investment management and asset allocation tools in one platform.

Q Describe how your investment products fit into a well-rounded asset allocation strategy.

Workflow is streamlined through automation with a web based brokerage that includes paperless account opening and account transfers, and a powerful model driven portfolio management system. Its centerpiece is the FOLIO investment concept: individualized portfolios that can include equities, ETFs and mutual funds.

Additional features include:

- Stock, Social and Sector Exclusions
- Tax Management
- Model Driven Portfolio Trading
- Daily Compliance Reports
- Online Proxy Voting
- Online Performance Reporting
- Electronic Statements, Trade Confirmations and Tax Documents

Q How has your firm adapted during the recent economic downturn?

Folio Institutional has worked with advisors to raise the awareness of, and emphasis on, the safety and security of client assets. While the financial advisor remains the primary point of contact for all client matters, as a custodian we maintain separate and independent records of all important account information and provide online access to accounts, statements, confirmations, tax documents, transaction history, and more. We also offer a feature called Folio Vote that provides advisors and their clients information about corporate actions affecting investments and allows proxy voting directly online. In addition, we supplement the paramount focus on security with an FDIC-insured cash sweep program.

AT A GLANCE

Firm name: Folio Institutional
Principal: Greg Vigrass
Employees: 130
Location: McLean, VA
Years in business: 11
Assets under management: N/A
Minimum investment: N/A