



# Marco Polo Securities

## Enabling foreign broker dealers access to US Buy-Sides



Marco Polo Securities chaperone services enables non-US clients to secure U.S. Institutional order flow, as well as disseminate their research while complying with SEC Rule 15a-6.

### Regulatory Environment

US regulations prohibit non-US brokers from conducting securities transactions with US investors. However, Rule 15a-6 of the Securities and Exchange Commission (SEC) Act of 1934 does allow an exception if a chaperone relationship is established and certain procedures are followed.

### MPS Registrations

Marco Polo Securities Inc. (MPS), a wholly-owned subsidiary of Marco Polo New World, is a US-registered broker-dealer with the SEC, member of FINRA and NFA, and an approved chaperone broker in the United States.

### Chaperone Service

As a chaperone broker, Marco Polo Securities is able to guide foreign brokers through the complex US regulatory environment. By establishing a chaperone relationship, these foreign brokers are able to take advantage of the exemption offered under SEC Rule 15a-6 that permits these clients to operate under the regulatory umbrella of Marco Polo Securities. As a pioneer in Emerging Market trading, Marco Polo has developed deep expertise in helping foreign brokers access US investors while avoiding the cost and complexity of securing their own US regulatory approval.

### US Market Access

Via our Chaperone agreement, foreign brokers are able to access US buy-side accounts, send research and speak directly to Portfolio managers / analysts, host conferences, and organize informational road shows and using their own name and brand. MPS works behind the scenes to introduce the foreign broker to our network of buy-sides and support all sales efforts while ensuring that our clients remain compliant with all 15a-6 regulatory requirements.

### Reduced Costs

A chaperone relationship with MPS, enables clients to interact with US institutions, without the legal costs and time required to establish a regulated US broker-dealer. Rather, clients gain access to existing relationships between MPS and over 100 major US institutions and high frequency trading firms while benefiting from our investment in broker dealer licensing, regulatory compliance, audits, infrastructure and personnel.



## Trading Infrastructure

In addition to the research distribution, MPS provides its clients with the premier electronic trading infrastructure – including voice – to enable any new foreign broker with the latest tools and technology to ensure their success in the US market.

## Order Routing

More than simply a network of physical connectivity, Marco Polo provides our clients with a FIX normalization service that enables certified brokers to trade with any counterparty on our platform regardless of the protocol employed through a single connection. No one makes it easier to trade globally.



### US Market Access

- Over 100 major US institutions
- Tier 1 buy-side firms
- High-frequency traders
- Quantitative analysts
- Sell-side firms

### Global Access

- Connections to over 50 Exchanges
- 100+ markets
- 160 foreign local brokers
- Global Footprint in over 80 countries

Marco Polo provides brokers in the emerging and frontier markets streamlined access to US institutions while ensuring SEC compliance.



**MARCO POLO NEW WORLD**  
Redefining Global Trading

30 Vesey Street, 14th Floor  
Phone: 212-220-2700  
[www.marcopolonewworld.com](http://www.marcopolonewworld.com)  
[sales@marcopolonewworld.com](mailto:sales@marcopolonewworld.com)