Regal SECURITIES℠
Member FINRA, SIPC

Professional Guidance to Help Reach Your Goals

EXPERIENCE AND FINANCIAL STABILITY

Founded in 1977, Regal Securities combines our years of experience with a full range of financial services providing independent and unbiased access to financial solutions and a unique scope of products and support. We take pride in our compliance record and financial stability.

Regal provides full service custody functions, state-of-the-art technology, and execution capabilities in all major markets for Registered Representatives, Broker-Dealers, Registered Investment Advisor firms, and Independent Investment Advisor Representatives through Regal Advisory Services, Inc., an affiliated firm.

Regal is dedicated to providing the highest quality investment services, products and execution to a broad range of clients. We combine our experience as an investment firm and our extensive history in the investment industry with a culture of mutual respect, collaboration, and professionalism. By giving our clients the freedom to choose, we ensure diversification in our range of products and services.

We work with your financial advisor to insure they have the resources, products and services to provide world-class investment solutions for your individual needs.

National headquarters are located at 950 Milwaukee Ave., Ste. 101, in Glenview, Illinois, with branches and local offices throughout the country.

YOUR FINANCIAL ADVISOR

Your financial advisor will strive to give you the personalized attention and guidance you need to meet your investment goals. With the combined resources of Regal Securities and RBC Correspondent Services, your advisor has access to a comprehensive range of investment products and services including world-class research and financial planning software. We encourage you to work with your financial advisor to take advantage of the programs that will best meet your needs.

YOUR FINANCIAL GOALS

Whether you are looking to buy your dream home, helping your children or grandchildren go to college, or planning for retirement - your financial advisor can offer you professional guidance to help you reach your goals.

A full range of investment products are available including stocks, options, ETFs, fixed income, and syndicate offerings.

Products and Services

- Access to over 2,000 mutual funds
- Fixed Income and Bonds
- Online account access available 24 hours a day
- Comprehensive Statements and Reports
- Retirement Plans
- Cash Management Checking, Visa Gold Check Cards, and Online Bill Pay
- Money Market Accounts
- Trust Services
- Lending Services: Margin and Lines of Credit
- Alternative Investments
- Syndicate, Initial Public Offerings and Secondary Offerings
- And much, much more...

PROTECTING YOUR ASSETS

You can count on the financial strength and reputation of your broker-dealer and clearing firm. Regal Securities has excess net capital and meets or exceeds all of the SEC requirements for broker-dealers. Strong financials, compliance, and due diligence ensure our strength and stability for now and years to come.

Regal Securities, Inc. and RBC Capital Markets, LLC are members of the Securities Investor Protection Corporation (SIPC) – a nonprofit corporation funded by member securities broker dealers. You are eligible for SIPC insurance up to a maximum of $500,000 in cash and securities with a maximum of $250,000 cash. Additionally, RBC CM holds excess SIPC coverage of $99,500,000 with a maximum of $900,000 cash for a total of $100,000,000 coverage with a maximum of $1,150,000 cash. (Additional coverage is subject to a $400 million aggregate limit.) SIPC and Excess SIPC provide coverage against loss of securities and cash, not against market depreciation, fluctuation in market value of your securities or trading loss. Your financial advisor can give you more information on SIPC.

We understand privacy is important and we keep your information confidential. See our Privacy Statement for more information on how we maintain your privacy.

TECHNOLOGY

Investor Connect®

Investor Connect safely gives you online access to your account information 24 hours a day, seven days a week. Access account information and stay up to date on your investments. View or print online documents including monthly statements, trade confirmations, and tax documents at your convenience. Various research, planning, and tracking tools are also available.

Rest assured your information is safe. All data is encrypted to prevent unauthorized access and use of a private password is required. Others are not able to view your information without your permission.

If you are interested in exploring the site, go to www.investor-connect.com and click on "Visitor" where you are able to see and do almost everything a registered user can.

Download Information

To assist you in making budget decisions and simplify tax time, you may download to the following software programs: Microsoft Money®, Intuit®, Quicken®, Intuit/ Turbo Tax®.

CASH MANAGEMENT

Checking, debit, and online bill pay are available on your account.

Standard Checking

Standard checking is available for both retirement and non-retirement accounts with no annual fee.

Investment Access® Account

The Investment Access Account provides several options for easily accessing your money with the VISA® Gold Rewards Card, checking account, and bill pay.*

Electronic Funds Transfer

As a client, you can setup an ACH link between your bank and your brokerage account to automate the movement of contributions, distributions, dividends, or on demand payments.

OUR CLEARING FIRM

Regal Securities, Inc. clears through RBC Correspondent Services (RBC CS), a division of RBC Capital Markets, LLC, member NYSE/FINRA/SIPC. As our clearing firm, RBC CS handles the processing of trades and provides documentation of all transactions by providing confirmations, comprehensive statements, and a consolidated 1099. Through our relationship with RBC, our financial advisors can offer you the resources of one of the largest securities firms in the industry.

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* Investors should consider the investment objectives, risks, charges, and expenses of a fund carefully before investing. Prospectuses containing this and other information about the fund are available by contacting your financial advisor. Please read the prospectus carefully before investing to make sure that the fund is appropriate for your goals and risk tolerance.

All decisions regarding the tax implications of your investments should be made in connection with your independent tax, legal, or estate-planning advisor.

An investment in a money market fund is not insured or guaranteed by the Federal Deposit Insurance Corporation (FDIC) or any other government agency. Although the funds seek to preserve the value of your investment at $1.00 per share, it is possible to lose money by investing in the funds.

For complete account information, refer to your account statement(s), trade confirmation(s), and open order notice(s).

Securities offered through Regal Securities, Inc. RBC Correspondent Services is not affiliated with Regal Securities.