



Financial Northeastern Announcement

3/31/2026

We are excited to announce that Financial Northeastern Securities has agreed to be acquired by InspereX Holdings LLC, a firm with a long history of supporting institutional, broker-dealer, and advisor clients across fixed income and structured product markets.

This transaction is designed to strengthen the platform that supports you—without disrupting the relationship, service, or execution you rely on today. Financial Northeastern and InspereX LLC (“InspereX”) operate highly complementary fixed income businesses with limited overlap, allowing the combined firm to offer broader capabilities while maintaining the same disciplined, client-first approach.

About InspereX

InspereX has been an underwriter and distributor of fixed income solutions since its co-founding by Chairman Tom Ricketts in 1999. The firm pioneered retail access to fixed income securities with the launch of its InterNotes[®] corporate notes in 2000. Today, the firm has grown to include 190+ professionals, with six trading desks offering a broadly diversified set of securities to institutional investors and broker-dealers, as well as RIAs and other wealth advisors. With the firm’s technology portal Aria, advisors can access, evaluate, implement, and monitor fixed income, structured products, and alternative investments. InspereX has underwritten and distributed more than \$850 billion of investments.

What This Means for You

Upon our merger, you will enjoy increased capabilities, without the need for signing new paperwork, including:

- ✓ A broader range of investment solutions.
- ✓ Expanded underwriting and trading capabilities supported by six active trading desks.
- ✓ Access to FINRA-reviewed investor education resources.
- ✓ Technology that seamlessly integrates fixed income, structured products, and alternative investments.



Financial Northeastern's leadership and team will continue to play an active role within the combined organization ensuring continuity of service and a seamless experience for you.

Until our transaction is fully approved by regulators, we will operate the two businesses as separate legal entities. All Financial Northeastern business operations will continue as they are today, with no interruptions to trading, clearing, or service.

Throughout this process, our focus remains on delivering the same high level of service and execution on which you rely. If you have any questions, your Financial Northeastern representative is always available. We appreciate your continued trust and look forward to serving you into the future.