



# Admission Policy and Procedures and Driving Directions for Institutional Financial Markets, Inc.'s 2017 Annual Meeting of Stockholders

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## **ADMISSION POLICY AND PROCEDURES**

The Institutional Financial Markets, Inc. (the "Company") 2017 Annual Meeting of Stockholders (the "Meeting") will begin promptly at 10:00 a.m., local time, on June 7, 2017 at the offices of Duane Morris LLP, located at 1540 Broadway, New York, New York 10036. All attendees must present a valid photo identification to be admitted to the Meeting. Cameras (including cellular phones or PDAs with photographic capabilities), recording devices and other electronic devices, and the use of cellular phones or PDAs, will not be permitted at the Meeting. Representatives will be at the entrance to the Meeting and these representatives will have the authority, on the Company's behalf, to determine whether the admission policy and procedures have been followed and whether you will be granted admission to the Meeting.

Attendance at the Meeting is limited to:

- (A) Stockholders of record ("record holders") on the close of business on April 17, 2017, the record date for the Meeting, or authorized representatives of entities who are record holders. Authorized representatives of entities who are record holders must present a letter from the entity certifying to their status as an authorized representative.
- (B) Stockholders whose shares are held for them by banks, brokerages or other intermediaries ("beneficial holders"). Beneficial holders must present evidence of their ownership, such as a letter from the bank, broker or other intermediary confirming ownership, or the relevant portion of a bank or brokerage firm account statement.
- (C) Authorized representatives of entities who are beneficial holders. In addition to any evidence required under paragraph (B), above, authorized representatives must present: (1) a letter from the record holder certifying to the beneficial ownership of the entity they represent, and (2) a letter from the entity certifying to their status as an authorized representative.

## **DIRECTIONS TO DUANE MORRIS LLP NEW YORK OFFICE**

Located at 1540 Broadway, New York, New York 10036 (building entrance on 45th Street, just east of Times Square).

### **Subway Directions**

#### **From Penn Station:**

- Take the 2 train from Penn Station heading Uptown. (Other options: 1 train or 3 train)
- Get off at 42nd Street - Times Square
- Exit near intersection of W. 42nd Street and 7th Avenue
- Walk north on 7th Avenue toward W. 43rd Street
- Turn left on Broadway, then right on 45th Street
- Building entrance is on 45th Street, just past Planet Hollywood

### **Driving Directions**

#### **From New Jersey:**

- Take New Jersey Turnpike North to NJ-495 East (Exit 16E) toward the Lincoln Tunnel
- Enter New York through the Lincoln Tunnel
- Take the exit on the left toward 42 Street
- Turn right on W. 42nd Street, then left on 8th Avenue
- Turn right on W. 46th Street, then right on Broadway
- Turn right on 45th Street
- Building entrance is on 45th Street, just past Planet Hollywood

#### **From Connecticut:**

- Take I-95 South to Bruckner Expressway/I-278 West
- Take exit for Triboro Bridge/Manhattan
- Merge onto Triboro Bridge then take ramp to FDR Drive South
- Take exit 11 to E. 53rd Street
- Turn left at 2nd Ave. then right on 45th Street
- Take 45th Street for approximately one mile and cross Broadway
- Building entrance is on 45th Street, just past Planet Hollywood

#### **From JFK Airport:**

- Take I-678 North/Van Wyck Expressway
- Take exit 10W to Long Island Expressway/I-495 West
- Follow directions "From Long Island, New York" below

## **Driving Directions Cont'd**

### **From La Guardia Airport:**

- Take Grand Central Parkway West
- Take exit 4 to Brooklyn-Queens Expressway/I-278 West
- Take exit 35 to Long Island Expressway/I-495 West
- Follow directions “From Long Island, New York” below

### **From Long Island, New York:**

- Take Long Island Expressway/I-495 West through the Midtown Tunnel
- Take exit to E. 37th Street
- Turn left on E. 37th Street
- Turn right on 3rd Ave. then left on 42nd Street
- Turn right on 6th Ave., then left on 45th Street
- Take 45th Street and cross Broadway
- Building entrance is on 45th Street, just past Planet Hollywood

### **From Westchester County, New York:**

- Take Hutchinson River Parkway South to Cross County Parkway West
- Take exit 2 for Saw Mill Parkway West
- Saw Mill Parkway West becomes Henry Hudson Parkway
- Henry Hudson Parkway becomes West Side Highway/Route 9A
- Turn left on W. 56th Street
- Take W. 56 Street for approximately one mile, then turn right on Broadway
- Turn right on 45th Street
- Building entrance is on 45th Street, just past Planet Hollywood