



# Broadridge Securities Finance and Collateral Management



**Broadridge®**

The Broadridge Securities Finance and Collateral Management Solution product suite provides an integrated front-to-back office solution for financial institutions of all sizes.

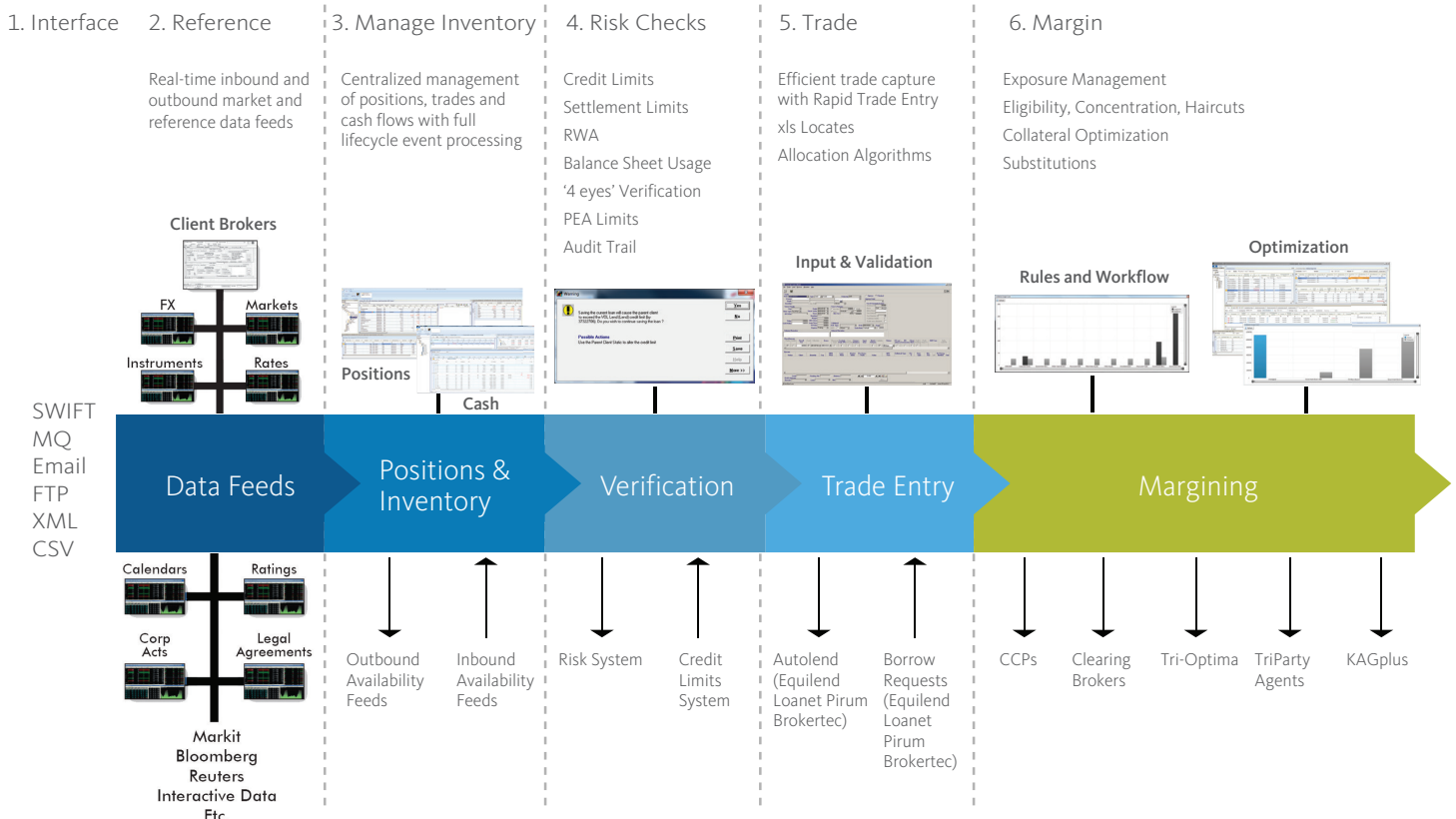
The solution is a real-time, multi-currency system for all Securities Finance trade types. It helps smaller direct lenders through to global custodians, brokers or intermediaries to manage the Securities Finance process more easily.

Broadridge's Securities Finance solution supports both agency and principal trading of equities and fixed income securities.

The product began life in 1996 when it was installed at our first client, a global custodian lender that is still a Broadridge customer.

Clients around the globe use Broadridge's software to meet their business needs, including some of the world's largest financial institutions and we offer many years of experience implementing successful projects.

## BROADRIDGE SECURITIES FINANCE AND COLLATERAL MANAGEMENT



# 7. Settle and Unsettle

SWIFT Module  
Settlement Tracking  
Fails Alerts  
Cash Netting

# 8. Maintain

Query trades and settlements  
Bulk trade amendments (reprice, rollover, rerate, return, cancel, close)  
Recalls, Substitutions, Reallocations

# 9. Corporate Actions

Full service corporate actions alerts and automated processing  
Cash and Non-Cash Divs Module

Automation

Alerts

# 10. Fees and Billing

Dedicated billing module  
Automated statement generation  
Fee splits, interest calculations

# 11. P&L Viewer

Multi-Level P&L Viewer  
True P&L incorporating funding costs, settlement costs, corp actions.

# 12. Interactive Reporting

Scheduling

Automated Email Distribution

Settlements

Trade Maintenance

Corporate Actions

Fee Statements

Profit and Loss

Off the Shelf Reports

Custom Reports

Inbound & Outbound SWIFTS  
Custodians CSDs  
External Settlement Systems

EquiLend  
Loanet  
Pirum  
Brokertec

Custody Systems

General Ledger/  
Accounting Systems

General Ledger/  
Accounting Systems

Wide range of ready-made reports in multiple formats



### Faster trading

Rapid trade entry features allow you to create trades more quickly, with less manual effort and fewer errors. Views of projected P&L at trade entry allow you to see instantly how profitable each trade will be.

A user-friendly global inventory manager helps you to view long and short positions at any level of your company. Color coded warnings indicate hot stocks, corporate actions and pay to holds, making it easy to see what is happening in the future.

### Lifecycle automation

The system provides you with a solution to manage the trade lifecycle more easily. It supports the full lifecycle from collateral management and corporate actions processing to settlement.

Simple views of trade events, bulk processing and recalls management help you gain a reputation for operational efficiency among your clients and counterparts.

### Global processing

Broadridge Securities Finance meets the demands of global organizations trading over multiple desks. The system is scalable and supports multi-company, multi-currency and multi-market processing.

### Improve collateral management

The Broadridge Collateral Management module helps you to manage collateral more efficiently and integrates fully with Broadridge Securities Finance.

The system provides control over collateral for securities lending, repo and OTC derivatives. It gives you the tools you need to quickly gain a clear picture of your exposures and increase control over risk.

### Manage your workload more easily

The system provides a workflow tool to view day-to-day tasks and organize your workload. You can set automatic alerts of key events, while managers can use the module to manage the workflow of their staff.

### Enhance communication

Web based reporting allows you to run, schedule, email and automate all of your reports. You can create your own reports, customize existing ones and add your branding to them to meet your internal and external requirements.

You can also improve transparency and customer service by giving your clients access to run their own reports.

### Easy integration

Broadridge integrates easily with third party systems and electronic platforms. This increases straight through processing and reduces trading costs. Our open database model makes it easy to extract data in any required format.

You can feed market data into the system from any source and send trade and settlement data to downstream solutions.

The system can integrate with risk management, settlement and accounting systems, trading platforms, data benchmarking services and triparty collateral managers.

### Expert knowledge

As well as providing you with software, Broadridge can provide you with expert knowledge on how to streamline your business processes. Our project managers have many years of experience and will provide you with new ideas that can help you gain an advantage over your competition.

Because your company's needs are unique, we provide a personalized approach to the project roll out and responsive support following go live.

We see each installation as an important long-term partnership to secure and support your investment in our technology.