

Broadridge OMS

Empowering you to stand up sophisticated trading workflows, automate key processes and expand your sell-side business globally.

Broadridge Order Management System (OMS) fuels innovation and efficiency in multi-asset sell-side trading. With support for high- and low-touch workflows, powerful tools for compliance and middle office, a flexible architecture and a global footprint, there's virtually no limit to what you can do with our technology. It's all part of the larger Broadridge organization, enabling you to transform your business from front to back.

FAST FACTS

- **What is Broadridge OMS?**

A multi-asset trading platform with sophisticated automation capabilities and rich workflow functionality for the sell side

- **Who is Broadridge OMS for?**

Front- and middle-office teams at broker-dealers trading equities, ETFs, fixed income or derivatives

- **Who uses Broadridge OMS today?**

150+ clients and thousands of active traders globally. The platform is also connected to 150+ exchanges and trading venues



CURATE A TARGETED SOLUTION

- Leverage Broadridge's modular software architecture and independent components to build a solution specific to your needs
- Select tools for initial implementation and easily add additional functionality as needed
- Integrate proprietary or third-party tools to supplement our OMS functionality
- Avoid expensive, bloated systems that lock you into unneeded capabilities
- Benefit from increased scalability, faster time to market and an enhanced ability to make incremental upgrades

SIMPLIFY COMPLEX WORKFLOWS

- Automate key high- and low-touch trading processes, including flow trading, market making, systematic internalization and more
- Efficiently trade diverse asset classes, support large volumes and operate in regions around the world
- Seamlessly adopt other Broadridge tools or third-party apps through FDC3-compliant interoperability
- Leverage a wide range of battle-tested risk and compliance capabilities so you can pursue your strategies with confidence
- Enjoy an easy, intuitive user experience, freeing up more time to focus on differentiators

GO GLOBAL

- Pursue global expansion with the support of a technology partner with an established footprint in Americas, EMEA, APAC
- Leverage modular technology and easy integration to stand up regionalized workflows and enter new territories
- Use our unified sales view to track your business from a global perspective, no matter how it evolves
- Lean on experts at every rung of the Broadridge organization with specialized, local expertise in markets around the world
- Benefit from 24/6 multi-language support

KEY FUNCTIONALITY



High-Touch Trading – Agency trading, risk trading and market making workflows, position management and trade reporting



Low-Touch Trading – Automated trade flow, integration to liquidity-seeking strategies, smart order routing and exception management



Portfolio Trading – Simultaneous trading of baskets of stocks for index arbitrage, portfolio restructuring or outright buy/sell interests



Compliance and Risk – Detailed audit trails and complete order flow transparency for compliance with key regulations and regulators



Middle Office – Centralized bookings, allocations, confirmations and trade compression via all major post-trade communication channels



Connectivity, Onboarding and Monitoring Service – Core messaging ecosystem, client certification, onboarding, testing tools and more

BATTLE-TESTED TECHNOLOGY

- Leverage a low-latency platform that's relied upon by thousands to handle a full spectrum of high- and low-touch trading needs
- Gain native connectivity to receive FIX or non-FIX order flow, normalize it and route to any destination at scale
- Access a robust suite of Managed FIX Services, including a core messaging ecosystem, client certification, onboarding and testing tools and more
- Seamlessly integrate front-, middle- and back-office products, maximizing efficiency and firm-wide visibility
- Collaborate with our team to request enhancements on an ongoing basis, with SaaS-based architecture ensuring efficient delivery

AN EVOLVING PLATFORM

- Work with highly specialized, rapidly growing sales and implementation teams that understand your business inside and out
- Benefit from our partnership approach to client relationships and a product roadmap that is tuned to your needs
- Expand your capabilities through our partnerships with third parties, such as market data and reference data vendors
- Build your technology strategy for the long term with a platform that delivers the scale and stability you need to fully buy in
- Benefit from the stability of a global fintech leader with over 30 years of domain expertise, a \$20 billion market cap and \$5 billion in annual revenues

Broadridge Financial Solutions (NYSE: BR), a global Fintech leader with \$5 billion in revenues, provides the critical infrastructure that powers investing, corporate governance, and communications to enable better financial lives. We deliver technology-driven solutions that drive business transformation for banks, broker-dealers, asset and wealth managers and public companies. Broadridge's infrastructure serves as a global communications hub enabling corporate governance by linking thousands of public companies and mutual funds to tens of millions of individual and institutional investors around the world. Our technology and operations platforms underpin the daily trading of more than U.S. \$9 trillion of equities, fixed income and other securities globally.

[Broadridge.com](https://www.broadridge.com)



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