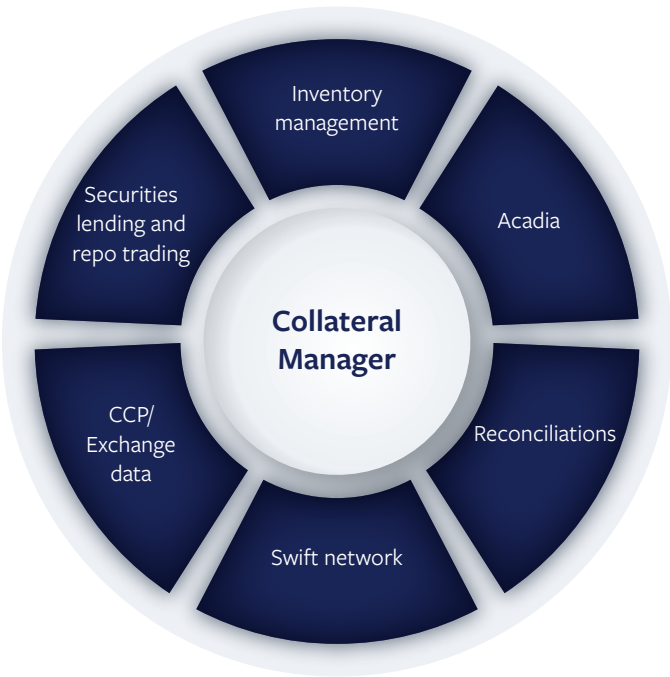


Securities Finance and Collateral Management (SFCM)

An automated collateral management solution driving enterprise-wide efficiency, optimizing cross-product exposure, margin and collateral workflows.





PRODUCT FEATURES AND BENEFITS

An enterprise-wide and cross-product solution with real time links across Broadridge’s securities trading platform

- Full coverage across securities lending, repo, and bilateral/cleared OTC/exchange traded derivatives collateral
- Reduce counterparty and operational risk
- Optimize use of balance sheet and liquidity with centralized view of collateral versus availability
- Adapt to market changes and regulatory impact to securities financing and collateral management

COLLATERAL WORKFLOWS

A single and global solution consolidates margin calls across different business lines for a holistic view on counterparty risk

- Manage exposures and automatically calculate calls in real time
- User defined workflows gives greater control to the business
- Full support for both principal and agency models
- Margin call automation provides exception-based approach
- Real time links and processing for mobilization of collateral
- Follow collateral lifecycle through to settlement process
- Standard workflow reports and option for customised reporting

CONNECTIVITY

High levels of automation and connectivity is key to delivering advanced capabilities to your business

- Acadia, regulatory and non-regulatory CSA
- Custodians and all triparty agents via Swift network
- CCP data via Broadridge’s Connectivity solution
- Market and static data providers
- Internal systems: legal, accounting, settlements, risk, performance

GLOBAL INVENTORY

Consolidate and optimize inventory across multiple sources to rapidly mobilize collateral

- Real-time views of cash and securities across different asset classes
- Liquidity management with direct links to securities financing platform
- Future-dated, real-time position management
- Optimize the use of securities across obligations
- Centralize collateral trading into a single profit center

CORPORATE ACTIONS

Full corporate actions workflow for equity & fixed income collateral

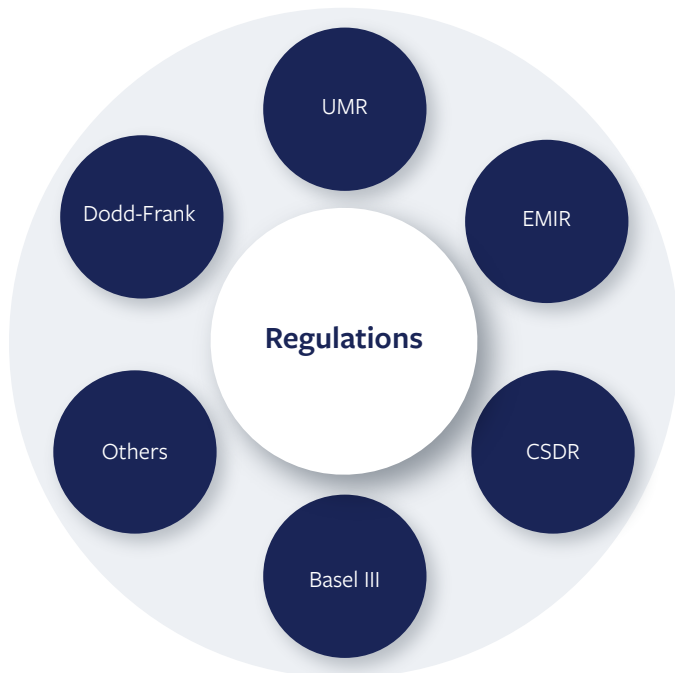
- Understand and process collateral substitutions
- Stay informed regarding upcoming events
- All global corporate event types supported
- End-to-end process for claims, notifications and settlements

FULL-SERVICE OR FASTSTART DEPLOYMENT

SFCM FastStart can help businesses reduce costs and save time

- Full SaaS option: private cloud and Broadridge managed service
- SFCM caters for all types of market participants
- Low entry point and accessible month-to-month contract
- FastStart can implemented within a rapid time frame
- Full-service model for enterprise-wide and complex global operations
- Migrate from FastStart to full service in a phased approach as your business grows

REGULATORY PRESSURES



Broadridge provides full support for the following regulations and more



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.

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