

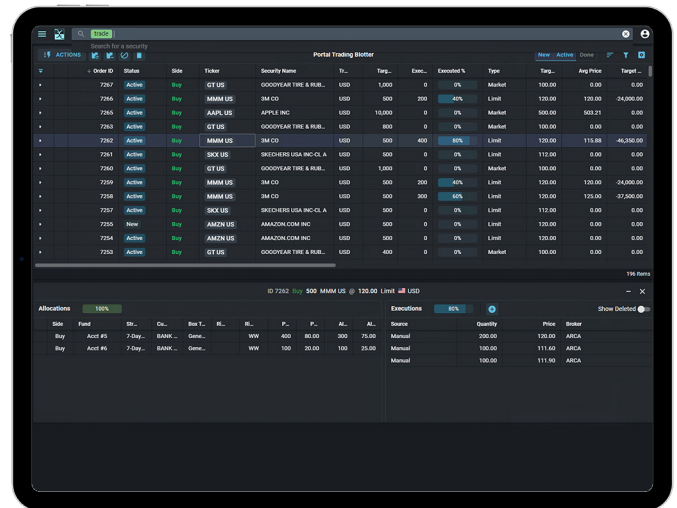
Order and portfolio management for the full investment lifecycle

COMPLETE ORDER AND PORTFOLIO MANAGEMENT, ACROSS THE INVESTMENT LIFECYCLE, IN A SINGLE SOLUTION

We enable all of your organization to work off of the same data-set, reducing operational risks and enabling the firm to focus on alpha generation.

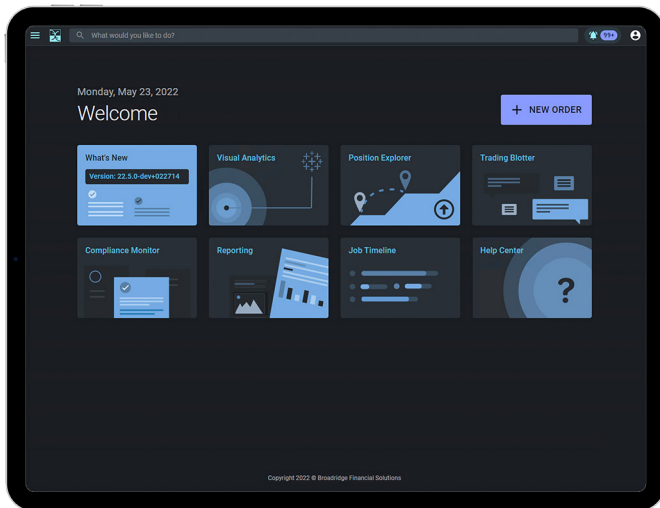
BROAD INSTRUMENT COVERAGE

Regardless of how you seek to express your portfolio views, be it in Cash Equity, Equity Swap or Derivatives, we have the broadest instrument coverage to support your strategies.



Order ID	Status	Side	Taker	Security Name	Qty.	Trq.	Estm.	Executed %	Type	Trq.	Avg Price	Target
7197	Active	Buy	OT US	GOODYEAR TIRE & RUB...	1,000	0	0%	Market	100.00	0.00	0.00	
7264	Active	Buy	MAM US	3M CO	500	200	40%	Limit	120.00	120.00	-24,000.00	
7265	Active	Buy	AMPL US	APPLE INC	10,000	0	0%	Market	500.00	503.21	0.00	
7263	Active	Buy	OT US	GOODYEAR TIRE & RUB...	800	0	0%	Market	100.00	0.00	0.00	
7262	Active	Buy	MAM US	3M CO	500	400	80%	Limit	120.00	115.88	-46,350.00	
7261	Active	Buy	SIX US	BRECHERS USA INC-CL A	500	0	0%	Limit	112.00	0.00	0.00	
7268	Active	Buy	OT US	GOODYEAR TIRE & RUB...	1,000	0	0%	Market	100.00	0.00	0.00	
7259	Active	Buy	MAM US	3M CO	500	200	40%	Limit	120.00	120.00	-24,000.00	
7258	Active	Buy	MAM US	3M CO	500	300	60%	Limit	120.00	125.00	-27,000.00	
7257	Active	Buy	SIX US	BRECHERS USA INC-CL A	500	0	0%	Limit	112.00	0.00	0.00	
7255	New	Buy	AMZN US	AMAZON.COM INC	500	0	0%	Limit	120.00	0.00	0.00	
7254	Active	Buy	AMZN US	AMAZON.COM INC	500	0	0%	Limit	120.00	0.00	0.00	
7253	Active	Buy	OT US	GOODYEAR TIRE & RUB...	400	0	0%	Market	100.00	0.00	0.00	

Trade Blotter: See the execution status and price for each transaction with powerful filtering options



Our new digital experience, thoughtfully designed,
elegantly simple — and powerful

COMPREHENSIVE FUNCTIONALITY

Trading and Order Management Features

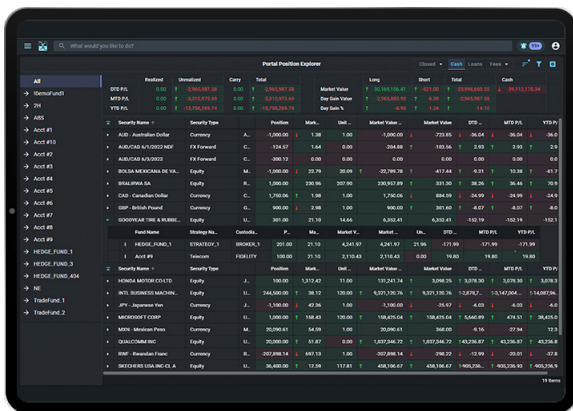
- Flexible trade modeling and rebalancing for order generation
- Complete trading and order routing solution, connectivity to executing brokers, algos, EMS platforms
- Connectivity via FIX, either using Broadridge's proprietary NYFIX network or other preferred FIX network solutions
- Real-time position and P&L views
- Investment Mandate & Regulatory Compliance tools, including real-time alerts, and customizable rules
- Dynamic connectivity with prime brokers to identify short availability and locates in real-time
- Real-time OTC derivative valuation, sensitivities, greeks

Portfolio Management Features

- Flexible portfolio views - strategy, sector, theme, etc.
- Automated security terms and conditions setup and maintenance
- Powerful rebalancing and portfolio modeling
- Cash management and inception-to-date record keeping
- NAV analysis, full shadow accounting, and reporting
- Automated corporate action processing
- Historical as-of-reporting (DTD, MTD, custom periods)
- Automated reconciliations with counterparties

Firm-Wide Management and Client Reporting

- Broad library of portfolio, exposure, operational, and financial reports
- Integrated report designer for modifying existing reports or creating custom reports
- Automated report generation and distribution
- Online data analysis tools including full time-series from inception
- Web-based reporting and portal integration



Our new digital experience, including the Trade Blotter, enables broader access from tablets and mobile devices.

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)



Optional Risk Management Features

- Scenario Analysis
 - View the impact of scenarios on any set of positions, portfolios, or analytics
 - Compare the impact of scenarios on actual and model portfolio positions
- Value-at-Risk
 - Calculate VaR intraday (including marginal, incremental, component, and conditional)
- Sensitivity Analysis
 - Greeks and interest rate sensitivities

GLOBAL SUPPORT AND SERVICE MODEL

Our global data centers and offices allow us to support clients in Asia, Europe, Middle East, and North America with 24/6 support. We employ highly experienced data professionals positioned globally within their respective markets.

ABOUT BROADRIDGE

Broadridge is the leading provider of next generation investment management solutions addressing the real-time, front-to-back office needs of hedge funds, asset managers, fund administrators, and prime brokers. Our multi-asset class solutions help simplify the management of complex instruments and strategies, improve operational efficiencies, and help lower the costs of managing multi-prime hedge funds.

