

# Automated Platform Delivers Significant Growth for Global Asset Firm



## THE CLIENT

A global asset manager with offerings that span the asset class and capital structure spectrum that currently manages \$100+ billion (US) in assets with investment capabilities in multi-asset, fixed income, equities and alternatives.

## GLOBAL FIRM'S SUCCESS REQUIRES INCREASED SCALABILITY

The firm was experiencing rapid growth when the leaders determined that their current portfolio management system could no longer perform at scale. As a result, they began the search for a new platform. They sought a fully automated, front-to-back-office solution engineered to handle the complexities of their growing collateralized loan obligation (CLO) business. After conducting a rigorous evaluation process with several systems that could potentially meet their needs, including several rounds of product demonstrations and proofs of concept, the team decided that Broadridge's Sentry PM was the most compelling solution uniquely positioned to meet their needs.

## FULLY AUTOMATED SOLUTION EMPOWERS GROWTH

Following the implementation of Sentry PM, the client continued to experience tremendous growth in multiple areas of their business. In just two years, the firm:

- Grew targeted AUM from \$7 billion to \$9.25 billion
- Increased from 17 to 25 SMAs
- Issued six new CLOs
- Added product coverage for CLO debt, FX, derivatives
- Expanded into the APAC region

Years after implementation, Sentry PM continues to deliver results. This automated platform gives them the capacity to handle additional volume with a deeper breadth of functionality. The firm's leaders considered Broadridge's Sentry PM a strategic partner: the increased efficiency, scale, and transparency it provides are integral to grow its operations.

## A TRANSPARENT FRONT-OFFICE VIEW

Sentry PM provides a consolidated front-office view via interactive dashboards. This helps centralize pre-trade compliance and investment data. In addition, it increases transparency, allowing analysts and portfolio managers to easily access detailed views on investments and activity.

## CORE BENEFITS

- **Consistent user experience**
- **Streamlined operations**
- **Scalable high-volume processing**
- **Reduced operational risk**
- **Improved efficiency**

## STREAMLINED MIDDLE AND BACK OFFICE OPERATIONS

Sentry PM unifies and automates middle- and back-office operations, boosting the efficiency of loan administration and trade settlements. This streamlined user experience allows for quicker execution of hypothetical trade scenarios and customized reports. Automation also reduces the opportunity for human error, saves time and enables data feeds including the security master, pricing, ratings and reconciliations.

## GLOBAL DATABASE DELIVERS REAL-TIME INSIGHTS

A single global database and unified portal overcomes the challenges associated with data silos and compliance. Sentry PM delivers real-time visibility, enabling the firm to globally monitor fund restrictions, waterfall scenarios and CLO guidelines, all in one place.

## BROADRIDGE SUPPORT FOR FUND AND CLO MANAGERS

Simplify and unite the front, middle and back offices with one interconnected system. Empower your team to adjust to client workflows and make real-time updates in a system that is scalable as you grow.



Analyze hypothetical trade scenarios



Pre- and post-trade compliance engine



Manage analysis, execution and administration



Track full waterfall projection and modeling



Calculate maximum trading capacity



Aggregate data across strategies, portfolios and assets

Broadridge Financial Solutions (NYSE: BR), a global Fintech leader with over \$4.5 billion in revenues, provides the critical infrastructure that powers investing, corporate governance and communications to enable better financial lives. We deliver technology-driven solutions to 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. In addition, Broadridge's technology and operations platforms underpin the daily trading of on average more than U.S. \$10 trillion of equities, fixed income and other securities globally.

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*“The Broadridge team took the time to learn about our workflows and processes to better tailor Broadridge’s Sentry PM as a customized solution for our company.”*

– Investment Manager