

Transform your securities lending compliance with Broadridge

Enhance transparency. Simplify compliance.

In today's rapidly evolving financial landscape, staying ahead of regulatory changes is crucial. With the impending implementation of SEC Rule 10c-1a, securities lenders face new reporting requirements to enhance transparency in the US market. Broadridge stands as your trusted partner, offering a robust solution to help you navigate these changes with ease.

Why SEC Rule 10c-1a matters

Set to go live in January 2026 (potentially extended to September), SEC Rule 10c-1a demands single-sided reporting of securities loans to FINRA's SLATE. This regulation impacts US-based lenders, including branches of overseas banks and domestic broker-dealers, requiring comprehensive disclosures of previously unreported data sets.

Your challenges, our solutions



Adaptability to regulatory changes: The dynamic regulatory environment requires continuous adaptation. Broadridge's solutions are designed for flexibility and scalability, ensuring you remain compliant without compromising operational efficiency.



Data management excellence: The challenge of integrating and harmonizing data from multiple sources is significant. Our BRx-enabled data model and seamless integration options ensure efficient, accurate data management, reducing complexities and risks.



Operational efficiency: The cost and burden of manual processing are escalating. With Broadridge's solutions, benefit from automation, real-time visibility through user dashboards, and proactive issue resolution, streamlining your operations and cutting costs.

The Broadridge advantage

Proven expertise: With over a decade of domain experience and partnerships with key industry bodies, our solutions are built on a foundation of trust and excellence. Our success with reporting to FINRA combined with our deep experience in processing securities lending activity further demonstrates our capability.

Comprehensive integration: Our solution is fully source system agnostic and designed to work alongside existing platforms and third-party systems, offering a seamless transition and enhanced functionality through elements like pre-submission validation and data enrichment.

Strategic partner for growth: As the industry evolves, our commitment to innovation and client-centric development ensures you are equipped not just for compliance but for future growth.

Join a community of industry leaders

With over 20 of the top 100 banks relying on Broadridge technology, you're joining a network of forward-thinking institutions committed to best practices and excellence in regulatory compliance.

Take the next step

Choose Broadridge to transform regulatory challenges into opportunities for growth and efficiency. Contact us today to learn more about how our solutions can support your transition to SEC 10c-1a compliance, ensuring you stay ahead in a competitive market.

Contact us

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