

A World-Class Operational Infrastructure for Investment Management Firms

Investment complexity, regulatory requirements and a crowded marketplace are squeezing profit margins for today's asset managers. To stay competitive, they must focus on improving returns, servicing clients and attracting new capital—without sacrificing critical operational functions. All too often, firms are allocating too much of their scarce resources to non-differentiating activities. They also bear the burden and risk of continually supporting and upgrading technology. Increasingly, they are turning to service providers for easier, more cost-effective and scalable alternatives.

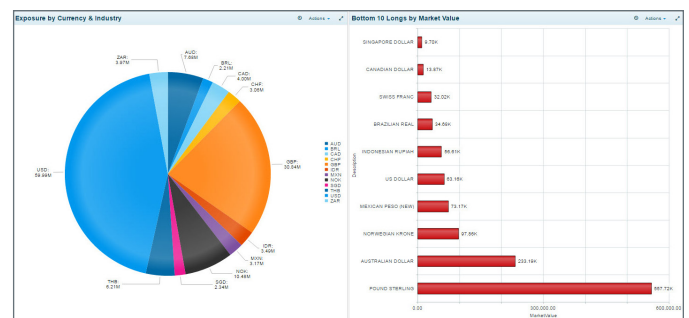
Broadridge's Investment Operations Platform

Broadridge is a global financial services technology provider. We partner with asset management firms at all stages of growth to help them grow revenue, manage risk and control costs. Our clients leverage our experience, global infrastructure, and award-winning technology as a service to optimize and scale their investment operations.

Broadridge's investment operations platform helps asset managers, advisors, pension funds and other buy-side organizations meet operational challenges—like managing information across the business, improving efficiency and controlling costs. It is a complete, flexible and scalable platform of technology and services. Core capabilities of the platform include:

- Data warehouse
- Data aggregation and management
- Security and hosting
- Investment accounting services and technology
- Reporting and analytics

Along with extended functionality for billing, risk management, compliance and portfolio management, these capabilities integrate as needed with your existing solutions and provide a foundation for Broadridge's ecosystem of offerings across the front, middle and back office.



A 360-Degree View of Investment Activity

Broadridge's investment operations platform supports an "information-enabled" asset management firm—wherein consolidated, accurate and timely information drives decision-making across all facets of the business. Information-enabled asset managers are empowered to seize opportunities, assess risk, harness savings and stay competitive.

Broadridge provides a 360-degree view of investment activity by delivering critical information to internal and external stakeholders at the right time and in the form needed to support their roles. This is supported by the following features:

- Secure, multi-device access
- Extensive report library
- Branded statements
- Flexible dashboards



Complete, Accurate and Timely Data

Broadridge has been recognized by the industry year over year for our reliable, cost-effective data management services. Data management is the backbone of our investment operations platform. Core capabilities include:

- “Whole-wallet” data aggregation across asset classes from every available source
- Activity, market and reference data management
- Automated corporate actions, pricing and security master
- Centralized, open architecture data warehouse supporting a comprehensive, enterprise-level IBOR

Augment Your Business with Accounting Professionals

Broadridge provides market-leading investment accounting and cash management solutions enhanced and supported by a dedicated team of experienced professionals. Our real-time, multi-currency, global asset class platform is rooted in the principles of accuracy, efficiency and reliability. Its proven technology supports the management of more than \$1.7 trillion in assets. Our team of certified, highly experienced accountants can operate as an extension of your team to maintain an up-to-date, accurate and actionable book of record (ABOR) according to industry standards and client-specific service level agreements.

For more information about our investment operations platform, please email inv-acct@broadridge.com, call (856) 797-1200 or visit us online at broadridge.com/investment-operations/

Case in Point: Growth and Scalability from a Managed Services Solution

Situation

A privately held asset management firm with \$7.6 billion in assets was leveraging an internally managed system from a leading vendor to deliver data to support the investment management process and maintain their accounting and investment books of record. With new clients coming on board and AUM growing, they needed to add non-strategic, junior staff members to support expanding operational needs rather than investing in continued business growth.

Result

Broadridge provided the firm with a more effective, cost-efficient alternative to keeping their investment operations in-house. Our investment operations platform allowed them to invest more effort and capital into active investment management and other revenue-generating functions. Broadridge provided reliable, scalable accounting book of record operations in a managed cost, low-overhead framework.

As a result, the firm has enjoyed steady growth with AUM increasing from \$1.5 billion to nearly \$6 billion, and the client base increasing from 10 portfolios and five clients to 50 portfolios and thousands of clients, in less than five years.

Results at a Glance

- 300% Growth in AUM
- 5x Increase in portfolios under management
- No additional investment in systems or staff

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