

Increase efficiency with a complete suite of solutions for banks and independent trust companies

Best-of-breed advisory and trading tools drive down costs and streamline operations.

Become more efficient day after day with tools that save you time and help you grow your business. End-to-end or a la carte, Broadridge brings proven solutions to banks and independent trust companies. Automate mutual fund, money market and ETF trading and mutual fund revenue collection. Optimize IRA workflows. Inform fiduciary decisions. For your custodial and sub-custody needs, count on our experts to help you operate more cost-effectively, reduce errors and focus your energies on acquiring new business.

BRING OUT YOUR BEST: FRONT, MIDDLE AND BACK OFFICE

There is no need to cobble together a series of point solutions. Let Broadridge add efficiencies all across your organization—or focus exclusively on your back office operations through our sub-custody services.

- Streamline management of your sweep, liquidity, cash and treasury portfolios.
- Expand your IRA footprint.
- Turn new regulations into a competitive advantage.
- Facilitate compliance.
- Elevate client outcomes.
- Drive greater business results.



Step up to trading and advisory efficiencies

Specialized solutions empower banks and trust companies to control rising costs, shift resources into more value-added activities and expand operations.



TRADING SOLUTIONS

From an intuitive front-end portal to a robust trading platform and comprehensive fee recapture capabilities, Broadridge gives financial institutions an edge. Now banks and independent trust companies can trade thousands of mutual funds and ETFs through a single platform.

► Mutual Fund and ETF Trading Platform

Broaden wealth management and retirement plan capabilities with an automated, low-cost trading platform. We provide the trading interfaces, daily reconciliation, real-time visibility and results needed to help you grow your business. You can trade ETFs in fractional shares and opt to reinvest ETF dividends or take them in cash.

► Sub-custody Services

Aggregate, reconcile and process trust and custodial transactional data in a highly automated platform. You remain the named trustee and/or custodian and maintain all plan client contact. We provide efficient cashing and back office operational services.

► Money Market Portal

Gain the automation and reporting capabilities required to better manage sweep, liquidity, cash and treasury portfolios. Broadridge negotiates trading agreements, opens new accounts and handles trade executions and settlements on your behalf while ensuring you retain full ownership of your positions.

► ACATS and Cost Basis Automation

Instantly import ACATS request files—or manually enter requests. View and filter real-time ACATS transaction updates and cost basis reporting via CBRS (Cost Basis Reporting Service) from contra firms. With our ACATS automation, there is no need to email or leave the interface.



ADVISORY SOLUTIONS

Wholly integrated or a la carte, Broadridge solutions allow you to optimize processes and decision making through our suite of tools and independent advisory consulting services.

► Decision Optimizer

Turn new regulations into a competitive advantage with this highly effective compliance solution. Now you can compare the merits of two alternatives quickly and easily, such as rolling over a 401(k) to an IRA.

► Fiduciary Focus Toolkit™

Manage and monitor investments with an emphasis on fiduciary guidance. Our Fiduciary Focus Toolkit provides flexible advisor controls and elegant reporting capabilities to elevate client outcomes and business results.

► everyIRA

Boost IRA assets and reduce service costs with a solution that integrates seamlessly with any firm or organization, regardless of systems capability or market segment. Gain an end-to-end process flow platform with expert retirement custodial services so you can better compete in the \$10+ trillion IRA market.

Learn more about how you can lower costs and streamline operations.

Contact us at sales@broadridge.com

