

# Broadridge Middle Office Solution

Simplify and streamline the trade lifecycle across asset classes and regions with a centralized middle office solution.

Increased cost pressures and diminishing commissions require operations to be more efficient. A fragmented middle office creates operational challenges, including supporting trade matching tools across multiple systems, inconsistent trade confirms across regions, asset classes or legal entities, and delays in reconciling trade and allocation mismatches. Consolidation of services on an open framework is key to driving simplification and scale across the trade lifecycle, asset classes, and regions

## Drive efficiency and reduce risk

Broadridge's Middle Office is a front- and back-office-agnostic SaaS solution that enables firms to achieve operational efficiency and cost-effectiveness by automating and simplifying street and client middle office workflows. By simplifying middle office operations and technology, firms can focus on exception management, reduce complexities, and eliminate the gaps between trading, clearing, and reporting.

## Block and allocation management

- Rules-based automation workflows.
- Computation of complex market fees and commissions.
- Pre-allocation, FIX, industry utilities (e.g. CTM), CSV, file imports, workflow-based systemic, manual allocation, and proprietary formats.
- Confirmation workflows: FIX, PDF files, SWIFT or any other proprietary format.
- Interoperable UIs for block, allocation, and confirmation management.
- Trade aggregation and netting for street and client side.
- Tailored onboarding and customization through modularity.
- Tremendous cost savings through a fully hosted solution, and optional business process outsourcing services.

## Broadridge Middle Office Solution benefits

- Increased efficiencies, reduced cost, and duplicate process elimination through automated workflows.
- Regulatory compliance for T+1 settlement.
- Global coverage—multi-asset, multi-currency, and multi-region.
- Front- and back-office agnostic.
- One solution for street and client side trading.

## Automation

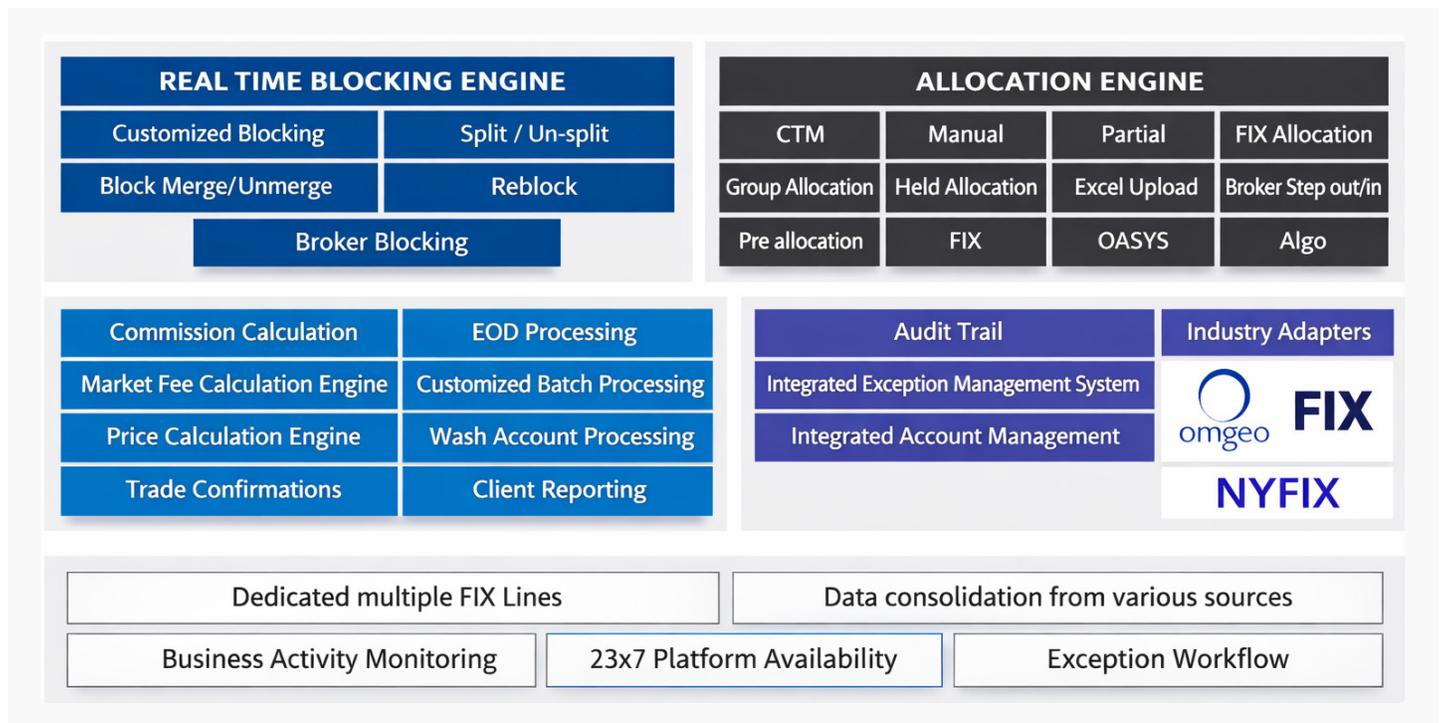
- Automate the creation of bookings and allocations using our granular workflow definition tools.
- Rules-based full Straight-Through Processing (STP).
- Automatic provision of back-office.



## Key features

- One solution for street - and client - side trading.
- Standard industry allocation utilities.
- Rule-based workflows.
- Support for buy-and sell-side workflows including RTO and correspondent clearer/broker configuration.
- Consolidated view of global markets, currencies, and asset classes.
- Support for multiple allocation methods including, NYFIX, FIX, bulk upload, and manual entry.
- Systemic STP workflow for missing accounts (ALERT or client's account master).
- Support for multiple exchange fees, transaction fees, clearing fees, stamp duty, transaction taxes, special tax, etc.
- Customized reporting and online screens.
- Street - and client-side compression and netting.
- Centralized middle money calculations.
- Consolidated trade confirmation advices.
- Modern UI.

## Broadridge Middle Office Solution components



Broadridge Financial Solutions (NYSE: BR) is a global technology leader with trusted expertise and transformative technology to help the financial services industry operate, innovate, and grow. We power investing, governance, and communications for our clients—driving operational resiliency, elevating business performance, and transforming investor experiences.

Our technology and operations platforms process and generate over 7 billion communications per year and underpin the daily average trading of over \$15 trillion of equities and fixed income trades. A certified Great Place to Work®, Broadridge is part of the S&P 500® Index, employing over 15,000 associates in 21 countries.

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