

Enhance and simplify Collateralized Loan Obligation (CLO) portfolio management

- 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



MANAGE CLOs FROM ANALYSIS TO EXECUTION TO ADMINISTRATION

CLO Managers face unprecedented levels of scrutiny from regulators, rating agencies and investors. In this intense environment the front, middle and back office functions need to be simplified and managed via a single integrated system. The multi-functional Broadridge CLO Portfolio Management Solution can help transform your business and get you ready for the challenges that lie ahead.

BRING TRANSPARENCY AND AUTOMATION TO THE CLO MANAGEMENT PROCESS

Automate repetitive processes and data entry. Simplify the manager's work. The modular, web-based platform adjusts easily to client workflow, updates in real-time and scales with you as you grow.

MAKE BETTER DECISIONS SUPPORTING THE ENTIRE INVESTMENT LIFECYCLE

Designed to accommodate any process or workflow, the award-winning Broadridge CLO management solution aggregates data from internal and external data sources. Use it to simplify the entire investment life cycle, from portfolio management to research, trading, and compliance. Manage any workflow. Store any data. Integrate with any system.

COMPLETE CLO ASSET SUPPORT

- Track loans at the global credit agreement, facility, tranche and contract levels
- Administer all loan activity (paydowns, splits, combines, rolls, etc.) across portfolios

WATERFALL MODELING

- Project waterfall results over life of the deal
- Configure each payment period independently and dynamically apply principal and interest - including test cures
- Incorporate scenario testing into analysis

PROCESS MANAGEMENT

- Minimize mistakes by streamlining approvals and next action steps
- Leverage Diagnostic Utility to identify missing data, prevent errors and identify stale pricing

RESEARCH MANAGEMENT, OMS AND TRADING

- Capture, calculate and analyze the creditworthiness of issuers and assets
- Monitor investment pipeline and improve asset selection - combine analyst reports, rating reports, financial statements, etc.
- Allocate trades across CLOs

PRE- & POST-TRADE COMPLIANCE ENGINE

- Manage across rule libraries, including portfolio and organization limits, coverage and collateral quality tests
- Calculate recovery rates and rating derivation on underlying assets
- Test hypothetical trades simultaneously across all managed CLOs
- Determine Maximum Permissible Trade Amount based upon the compliance “cap space” for each participating CLO



RECONCILIATION & DATA AGGREGATION

- Fully automated cash and position reconciliation
- Centralize data into embedded data warehouse and seamlessly leverage third-party data
- Aggregate multiple sources of risk, pricing and other relevant time-series data into user-defined dashboards

Broadridge Financial Solutions (NYSE: BR), a global Fintech leader with over \$6 billion in revenues, provides the critical infrastructure that powers investing, corporate governance, and communications to enable better financial lives. We deliver technology-driven solutions that drive business transformation for 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. Our technology and operations platforms underpin the daily trading of more than \$10 trillion of equities, fixed income and other securities globally. A certified Great Place to Work®, Broadridge is part of the S&P 500® Index, employing over 14,000 associates in 21 countries. For more information about us, please visit broadridge.com.

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