



CollateralPro™

Transform your Organization

Optimize Collateral Usage

Optimize collateral deployment across geographies, business lines and asset classes according to advanced business rules.

Automate Operations

Replace manual processes with automation that is customizable to your processes and based on industry best practices.

Make Better Decisions

See all your collateral positions and risk attributes in real-time with powerful decision support tools.

Reduce Counterparty Risk

Know your counterparty exposure at all times and utilize sophisticated workflow tools to efficiently meet your internal and external requirements.

Scalable, Evolving, Cost-Effective Collateral Management

A cost effective solution that can grow with your business, support optimal deployment of resources, increase productivity, while ensure your firm's ongoing compliance with the shifting regulatory requirements.

In today's environment, there are potentially huge amounts of collateral flowing in and out of financial firms under single- and multi-currency CSAs. Visibility into exposures and funding rates – and keeping up with the volumes of assets requires robust collateral management tools.

A Solution for the Entire Enterprise

CollateralPro™ delivers a comprehensive, end-to-end solution benefiting the entire collateral lifecycle.

Trading	Collateral Ops	Technology	Risk	Procurement	Legal
Collateral Optimization	Increased Efficiency (Straight Through Processing)	System Stability and Security	Regulatory Compliance	Globally Recognized franchise with 52 year track record	Agreement Management
Client Satisfaction	Settlement Connectivity	Ease of upstream and downstream integration	Credit Risk Mitigation	Time to Market	Dispute management

Global regulatory changes, increased liquidity concerns, and the projected, exponential growth in margin activity demand proactive management of collateral. Leading financial firms are now looking for efficient ways to optimize and control their collateral management activities across multiple geographies, business lines and product types.

CollateralPro delivers a comprehensive, enterprise-wide collateral management system that enables global investment banks, asset managers and service providers to transform regional and global operations. This new Broadridge solution empowers firms to mitigate counterparty risk, comply with changing regulations, and embrace growth.

Its end-to-end collateral management capabilities support bi-lateral and cleared derivatives, as well as securities financing transactions. In addition to providing excellent core collateral management functionality, CollateralPro offers an advanced optimization module which will improve liquidity and enhance revenue.

CollateralPro Core Product Features

Agreement management database

CollateralPro supports all international collateral agreement types, including ISDA CSA, GMRA and GMSLA.

Automated exposure calculation and data feeds

Collateral requirements are automatically calculated based on data feeds in a wide variety of formats from both internal and external systems.

Exposure and margin management

Intelligent automation supports margin call workflow through configurable business rules, automatically providing counterparty notifications. Users can drill down from the real-time displays and see exposure at agreement, product and trade levels, as well as view outstanding collateral balances.

Asset and inventory management

Provides an overview of collateral inventory, showing assets available for rehypothecation and confirmed and predicted asset positions. The inventory can be accepted from firmwide positions to make a wider pool of available assets.

Settlement status workflow

Settlement workflow tracks the progress of collateral and cash interest entries, including failed settlements. Upon approval, collateral movements can be processed automatically in a straight-through process.

Reconciliation and dispute management

Margin call disputes can be tracked and managed in multiple ways—by age, amount, counterparty or history. Detailed results can be exported to help resolve counterparty disputes.

Collateral interest calculation and statement

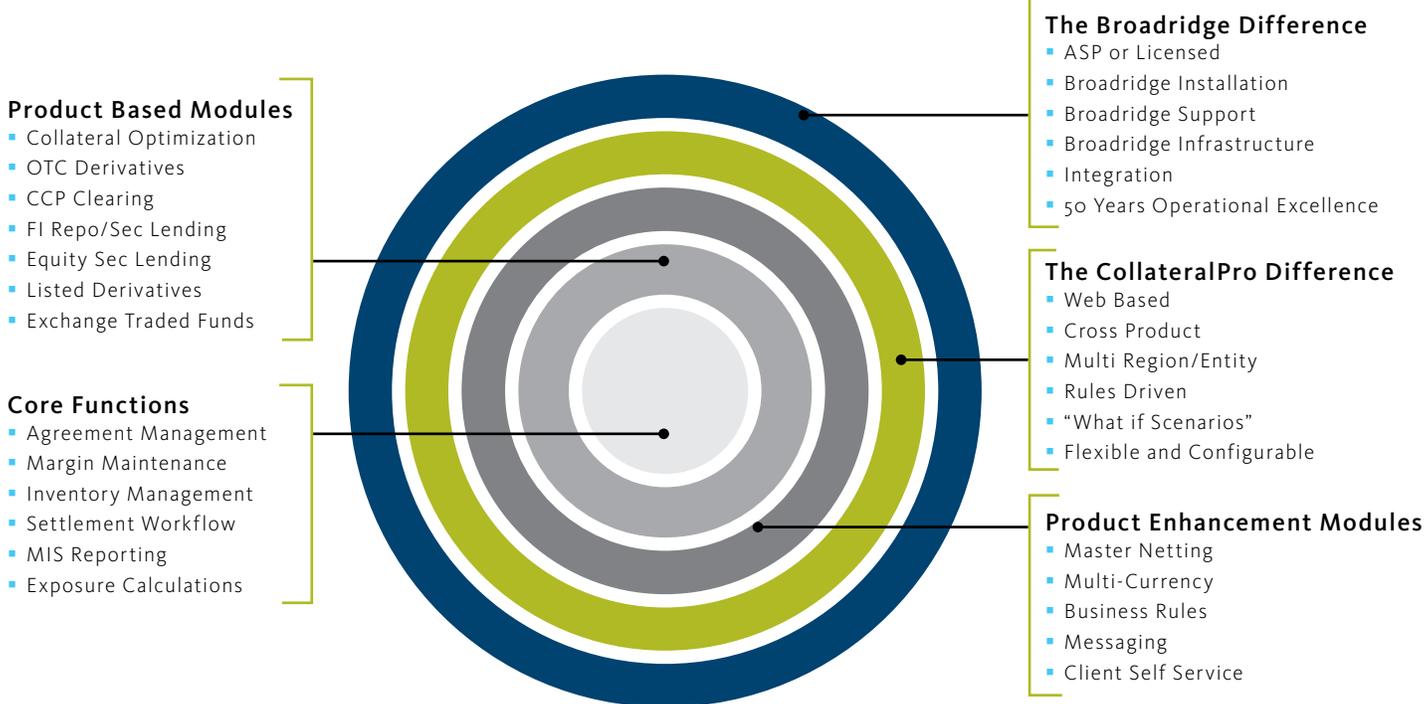
User-definable rules—including periods, rates spreads and internal firm financing rates—drive interest calculations on cash assets. Statements are sent automatically to clients for confirmation, and interest claim status is displayed on the dashboard.

MIS reporting

Fully customizable report templates can display trade details, holdings, exposure statements, mar-to-market comparisons and more. Reports can be run on an ad-hoc or scheduled basis, emailed to a specified address or exported to XML, Excel or PDF formats.

A Modular Solution Tailored to Your Needs

Customize your collateral management system to the unique needs of your firm by supplementing core CollateralPro functions with fully-integrated, optional add-on modules.



CollateralPro Product Based Modules

Collateral Optimization

Optimization provides configurable technology to enable real-time identification of the most optimal asset to be used, in any scenario, according to user-defined and evolving priorities.

OTC Derivatives

Supports bilateral derivative trades following the business rules established through the OTC agreements.

CCP Clearing

Module supports clearing members, brokers and clients with fully configurable processes adaptable to multiple clearing house or individual broker/client requirements.

Repo/Sec Lending

Functionality supports all requirements of the repo/sec lending process with real-time trade valuation, pricing, eligibility, exposure, validation, work-flows and fees.

Listed Derivatives

Supports margining requirements of futures, forwards and options.

Exchange Traded Funds

ETF module can manage and track the creation and redemption process of an ETF; calculate the mark-to-market on the ETF and accompanying basket of the underlying securities.

CollateralPro Product Enhancement Modules

Master netting

Further increases efficiency by allowing the issuance of a single call, which displays a counterparty’s exposures across all their collateral agreements, resulting in a single collateral movement.

Multi-currency

Facilitate collateral posting across currencies.

Business rules

Process automation capabilities built on user-defined rules extending from collateral agreements.

Messaging

Automation of collateral management between organizations using electronic messaging system.

Time Tested Global Support and Security

CollateralPro is anchored by Broadridge's deep expertise across the full spectrum of financial operations and brought to bear through a dynamic global service model. Empowered by over 50 years of financial industry experience, Broadridge is committed to its clients and the technologies on which they rely.

Broadridge plays a critical role in the global capital markets, processing \$5 trillion of fixed income and equity trades per day.

As one of only nine US financial industry providers to receive ISO 27001 certification, our Tier III-Plus data centers ensure the security of our clients' data.

Broadridge Financial Solutions Inc. (NYSE:BR) is the leading provider of investor communications and technology-driven solutions for broker dealers, banks, mutual funds and corporate issuers globally.



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