

## PRIME SERVICES

# Strong. Transparent. Client-Driven.

## Key Benefits

### Strength and Stability

A subsidiary of BNY Mellon, providing confidence, stability and security of a firm with a proven history of navigating clients through changing economic and market cycles

### Dedicated Account Team

Single point of contact within a dedicated, experienced support team personally invested in your business

### Optimized Client Financing

Flexible financing programs including a Fully Paid Securities Lending program and access to a large pool of internal assets as well as a global network of relationships with major agent lenders

### Industry-Leading Custody Solutions

Benefit from operational efficiencies, cost savings and counterparty risk mitigation through our prime custody model

### Exceptional Transparency

Receive daily market color commentary and week-over-week analytics from our dedicated and experienced trading desk

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## Contact Us

[primeservices@pershing.com](mailto:primeservices@pershing.com)

[www.pershing.com/primeservices](http://www.pershing.com/primeservices)

## EXCEPTIONAL FINANCIAL STRENGTH WITH A HIGH-TOUCH, CLIENT-FOCUSED APPROACH

- BNY Mellon | Pershing has been a leading global provider of financial business solutions for more than 80 years, with over \$2.0 trillion in assets under custody and/or administration and net capital of over \$2.0 billion – well above the minimum requirement<sup>1</sup>
- A+ long-term issuer credit rating and A-1 short-term credit rating assigned by Standard & Poor's
- A pure business-to-business model to meet due diligence requirements and minimize counterparty risk
- Award-winning, high-touch client service team providing experience, proactive support and consultative guidance to help you solve your toughest business challenges

## BROAD ACCESS TO LENDABLE SECURITIES AND FINANCING SOLUTIONS

- Large pool of assets available from Pershing, the #1 clearing firm in the U.S.<sup>2</sup>
- Access hard-to-borrow securities and a real-time locate facility
- Fully Paid Securities lending program to generate additional income from lending hard-to-borrow securities held in portfolios
- Access to BNY Mellon's agency securities lending network
- Transparency and daily market color across all asset classes, supported by a well-tenured securities lending team and dedicated equity and fixed income desks
- Unique financing solutions to compliment your overall strategy

## INDUSTRY-LEADING CUSTODY SOLUTIONS

- Clearing and custody services in over 65 markets and execution in 60 markets globally<sup>3</sup>
- Leading provider of solutions for alternative '40 Act funds
- Seamless, integrated platform provides access to securities lending, execution, custody services, and all servicing and financing functions needed to manage alternative '40 Act funds and eligible pension funds
- Online real-time margin calculator
- Consolidated view of portfolio
- Help maximize returns on your portfolio through our fully-paid lending portal, which provides real-time rate information
- Prime custody model that enables the movement, management, and safe keeping of your assets with maximum transparency through PrimeConnect™ and PrimeConnect40™

## GLOBAL TRADING CAPABILITIES

- Fixed income, equities, foreign exchange and options
- Execution in over 60 markets globally, facilitating trading and conversion of 50 currencies<sup>4</sup>
- More than 325,000 live and executable bids and offers from over 450 dealers and buy-side participants<sup>5</sup>
- Connectivity through every major Order Management System and Execution Management System in the industry
- Advanced electronic trading and powerful portfolio analytics tools

## OPEN ARCHITECTURE TECHNOLOGY PLATFORM WITH ANYTIME, ANYWHERE ACCESS

- NetX360<sup>®</sup> browser-based, open-architecture platform used by more than 100,000 investment professionals worldwide<sup>6</sup>; NetX360 mobile offering also available
- Customized approach to distribution and access via Pershing's platforms, including FundCenter<sup>®</sup>, FundVest<sup>®</sup> and ETF Center
- Connectivity with third-party accounting, portfolio and administration services
- Data warehousing and Geneva-based portfolio reporting

## CAPITAL INTRODUCTIONS PROGRAM

- Develop relationships with consultants, endowments and foundations, fund-of-funds, fund-of-managed accounts, public pension plans, single-family offices, and wealth management firms
- Targeted introductions taking into consideration investor preferences for strategy; performance; volatility; AUM; track record; and established, emerging, or pre-launch/just-launched managers
- Participate in INSITE, the premier industry event for registered investment advisors and introducing broker-dealers which hosts more than 2,000 attendees, plus other events providing exposure to RIAs and institutional investors
- Access to allocator perspectives on trending hedge fund investing topics via Pershing's What's Trending newsletter
- Insights on product positioning, pitch book and due diligence questionnaire messaging, and ways to keep investors engaged during the capital raising process

## INTEGRATED BNY MELLON PLATFORM

- Industry-leading collateral management technology with PrimeConnect and PrimeConnect40
- Accounting and Fund Administration
- Custody and Asset Servicing
- Derivatives and foreign exchange
- Alternative investments and cash management

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## Industry Recognition

### 'Large Cap Clients: Stock Lending'

*Global Custodian Industry Awards, 2020*

### 'Best Prime Broker – Capital Introduction'

*HFM US Services Awards, 2020-2021*

### 'Prime Brokerage – Client Service'

*Global Custodian Industry Awards, 2019-2021*

### 'Prime Broker of the Year'

*Global Custodian Industry Awards, 2018*

### 'Best Prime Broker – Credit Strategies'

*Alt Credit Intelligence US Services Awards, 2018-2021*

### 'Editor's Award for Prime Brokerage Operations'

*Global Custodian Industry Awards, 2017*

<sup>1</sup> As of December 31, 2021

<sup>2</sup> Based on number of broker-dealer clients, *InvestmentNews* 2008-2020

<sup>3</sup> As of December 31, 2021

<sup>4</sup> Ibid

<sup>5</sup> As of December 4, 2019

<sup>6</sup> As of December 31, 2021

### ABOUT BNY MELLON'S PERSHING

BNY Mellon's Pershing is a leading provider of clearing and custody services. We are uniquely positioned to help complex financial services firms transform their businesses, drive growth, maximize efficiency, and manage risk and regulation. Wealth management and institutional firms outsource to us for trading and settlement services, investment solutions, bank and brokerage custody, middle and back office support, data insights, and business consulting. Pershing brings together high-touch service, an open digital platform and the BNY Mellon enterprise to deliver a differentiated experience for every client. Pershing LLC (member FINRA, NYSE, SIPC) is a BNY Mellon company. With offices around the world, Pershing has over \$2 trillion in assets and millions of investor accounts. Pershing affiliates include Albridge Solutions, Inc. and Lockwood Advisors, Inc., an investment adviser registered in the United States under the Investment Advisers Act of 1940. Additional information is available on [perishing.com](http://perishing.com), or follow us on LinkedIn or Twitter @Pershing.

### ABOUT BNY MELLON

BNY Mellon is a global investments company dedicated to helping its clients manage and service their financial assets throughout the investment lifecycle. Whether providing financial services for institutions, corporations or individual investors, BNY Mellon delivers informed investment and wealth management and investment services in 35 countries. As of December 31, 2021, BNY Mellon had \$46.7 trillion in assets under custody and/or administration, and \$2.4 trillion in assets under management. BNY Mellon can act as a single point of contact for clients looking to create, trade, hold, manage, service, distribute or restructure investments. BNY Mellon is the corporate brand of The Bank of New York Mellon Corporation (NYSE: BK). Additional information is available on [www.bnymellon.com](http://www.bnymellon.com). Follow us on Twitter @BNYMellon or visit our newsroom at [www.bnymellon.com/newsroom](http://www.bnymellon.com/newsroom) for the latest company news.

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[perishing.com](http://perishing.com)

One Pershing Plaza, Jersey City, NJ 07399

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