

PrimeConnect40™: Collateral Management Solution for '40 Act Fund Managers

Key Benefits

Benefits for '40 Act Fund Managers

- › Mitigation of counterparty risk
- › Ease of collateral movements
- › Automated credit and risk approval process
- › Greater control over collateral selection and movements
- › Increased operational efficiency

Industry Recognition

'Best Prime Broker—Innovation'
HFMWeek 2014, 2015

Prime Broker of the Year—Clients Using Equity Long/Short Strategies
Global Custodian, 2015

Why BNY Mellon?

BNY Mellon is the largest global custodian by assets.¹

Contact Us

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¹ Source: *Institutional Investor*, September 2015, Global Custody Rankings

Pershing Prime Services offers '40 Act fund managers PrimeConnect40, a collateral management tool that automates the process of moving collateral between the custodian and prime broker.

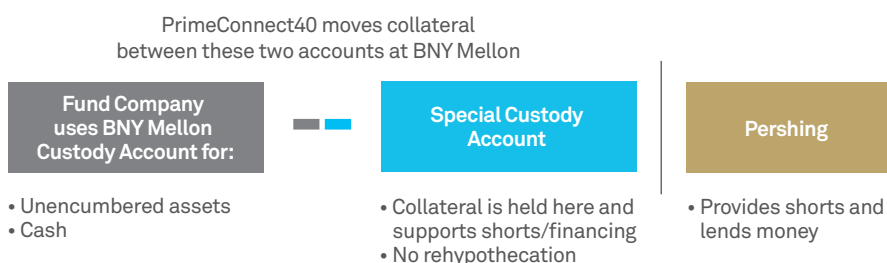
PrimeConnect40 offers unprecedented control of collateral selection and movements for funds using the tri-party structure to support alternative strategies. This technology is available exclusively through Pershing's NetX360® platform.

A Solution to Help Address Critical Challenges Facing '40 Act Fund Managers

- › Provide flexible and cost-efficient financing arrangements to support alternative strategies
- › Eliminate manual collateral management process
- › Increase transparency and control of collateral
- › Lower operational costs and increase efficiencies

Pershing's PrimeConnect40: Collateral Management Solution

- › Online, automated movement of collateral between the custodian and prime broker
- › Control over collateral selection and movement
- › Automated credit and risk approval process
- › Online real-time margin calculator
- › Consolidated view of portfolio
- › Access to monitor transactions at every phase of the process
- › Expedited startup and integrated onboarding for BNY Mellon clients
- › Counterparty strength and global resources of BNY Mellon



ABOUT US

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 management and investment services in 35 countries and more than 100 markets. 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.

Pershing, a BNY Mellon company, and its affiliates provide global financial business solutions to advisors, asset managers, broker-dealers, family offices, fund managers, registered investment advisory firms and wealth managers. A financial services market leader located in 23 offices worldwide, we are uniquely positioned to provide advisors and firms global insights into industry trends, regulatory changes and best practices, as well as shifts in investor sentiment and expectations. Pershing provides solutions—including innovative programs and business consulting—that help create a competitive advantage for our clients.

Pershing Prime Services

Pershing Prime Services delivers a comprehensive suite of prime brokerage solutions. We provide stable counterparty strength, extensive access to lendable securities, alternative sources of finance, dedicated client service, robust reporting tools, global execution and custodial solutions through the integrated platform of BNY Mellon. Pershing Prime Service is a service of Pershing LLC (member FINRA/ NYSE/SIPC), a BNY Mellon company.

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