



SOLUTIONS FOR THE BROKERAGE INDUSTRY

The challenges facing today's broker-dealer industry are many: disjointed systems, lack of automation, and an ever-increasing regulatory environment. To address these challenges, DST provides an array of real world solutions - designed with the broker-dealer in mind.

Subaccounting Solutions

Subaccounting technology and processing services of mutual funds and 529s for broker-dealers.

Omnibus – Holistic subaccounting platform that combines broker-dealer operations experience, a deep understanding of subaccounting workflow processes, and leverages our industry-leading transfer agency recordkeeping platform to deliver subaccounting processing of mutual funds or 529s.

Super Omnibus – Solution for smaller dealers to leverage our partners' selling agreements with fund families; clear through our partner via one account for each fund; maintain relationships with funds; and receive ROI, service revenue flows, and full service subaccounting support.

Brokerage Operations – Full operational processing services include asset reconciliation, corporate actions processing, fund setup, fund billing and transfer processing, and mutual fund operations consulting.

Advisor Solutions

Comprehensive advisor solutions for efficient connectivity throughout your daily workflow.

Alternative Processing – Complete servicing solution for alternative investment vehicles, with full business processing straight-through to the product manufacturer, integrated review and release, real time dashboard, and subscription document with electronic signature.

Risk and Surveillance – Automated post-trade surveillance with suitability, KYC, AML and oversight controls, comprehensive trade blotter, customizable rules engine, intuitive case management, and FINRA-aligned reporting.

Consolidated Reporting – Premium level dealer-branded, FINRA-aligned reporting; aggregated book of business and real-time views into fund, VA, REIT, and brokerage business; daily and quarterly data updates; and investor mobile access.

Personalized Financial Education – Financial planning guides with dealer-branded, FINRA-reviewed communication written by CPAs, CFPs, and attorneys; online portal; print or electronic tax; and investment, retirement, and general financial planning guides.

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www.dstsystems.com/brokerage

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MASTER COMPLEXITY™