

# Digitizing and Streamlining Securities-Based-Lending from End-to-End in the Cloud

10/22/2020

New technology provides a fully digital SBL process, from origination to collateral monitoring to loan servicing with advisor and client self-service capability

NEW YORK and DUBLIN, Oct. 22, 2020 /PRNewswire/ -- Utilizing the latest in Cloud technology to enable end-to-end Securities-Based Lending (SBL), Rockall, a **Broadridge Financial Solutions, Inc.** (NYSE:BR) company, has launched the Broadridge SBL platform. With SBL becoming an ever-more important credit product for financial advisors and their clients, the Broadridge SBL platform combines Rockall's existing credit and operational risk technology (FASTNET) with new loan origination capabilities (NAVIGATOR). This platform delivers a streamlined end-to-end process incorporating self-service loan management for the advisor and client.

"Digitization of the entire SBL process speeds up and smooths down the client and advisor experience; loans can be approved and funded more quickly, reducing time-to-loan to same day or next day funding," said Luke Nestor, founder of Rockall. "The Broadridge SBL Platform leverages next-gen technology to marry process efficiency and automation in the back office with an exceptional advisor and client experience. The platform makes it substantially easier for advisors to bring SBL to their clients, allowing them to defend and grow AUM."

Built on Rockall's strong core SBL client base over 20 years, with a focus on credit monitoring and risk management, the Broadridge SBL Platform is a new, digitized offering providing a full end-to-end securities-based lending experience. The platform puts loan origination and management directly onto the advisor dashboard, coupling it with rich back office SBL operations and risk management. advisors can access detailed client information as well as benefit from automated SBL workflows. By replacing manual information-gathering requests with a fully digital process, client decisions are better-informed and new business can be accelerated through a simple application process. Credit release decisions, margin call management and client communications workflow are also all fully digitized.

By providing direct connectivity across the full SBL ecosystem – including between multiple third-party market pricing, custodian, core banking and loan accounting systems – the business is better placed to manage SBL loans at volume, even at times of market volatility. The platform combines best-in-class security safeguards including SOC 2 compliance, market-leading middle- and back-office capabilities and a fully digital front office experience.

The platform supports a client self-service model by providing an application front-end for direct client applications – enabling the business to offer compelling SBL options to clients who might otherwise consider competitive credit offerings from other institutions. Self-service goes beyond online accessing of account information to deliver rich loan management capabilities directly to the advisor and client base, including notifications, inquiry, drawdowns, release requests and funds disbursement.

## Product Feature Spotlight

- Intelligent Prospecting
- Automated Applications
- Loan packet and E-Signatures
- Auto-decisioning and Underwriting
- Same-day Funding
- Real-time Monitoring
- Stress Testing
- Self-service Loan Management

The Broadridge SBL Platform integrates with multiple internal and external systems to acquire and process loan and collateral data, including held-away assets. It streamlines communication between lender and advisor, integrating existing activities into a robust, repeatable automated process.

## About Broadridge

Broadridge Financial Solutions, Inc. (NYSE: BR), a \$4 billion global Fintech leader, is a leading provider of investor communications and technology-driven solutions to banks, broker-dealers, asset and wealth managers and corporate issuers. Broadridge's infrastructure underpins proxy voting services for over 50 percent of public companies and mutual funds globally, and processes on average more than U.S.\$8 trillion in fixed income and equity securities trades per day. Broadridge is part of the S&P 500® Index and employs over 12,000 associates in 17 countries.

For more information about Broadridge, please visit [www.broadridge.com](http://www.broadridge.com)

## Broadridge Contacts:

### Investors

W. Edings Thibault

Head of Investor Relations, Broadridge

+1 516-472-5129

**[Edings.Thibault@Broadridge.com](mailto:Edings.Thibault@Broadridge.com)**

### Media

#### North America

Tina Wadhwa

Corporate Communications, Broadridge

+1 212-973-6164

**[Tina.wadhwa@broadridge.com](mailto:Tina.wadhwa@broadridge.com)**

#### Europe:

Charlie Morrow

Cognito

+44 (0) 20 7426 9400

**[charlie.morrow@cognitomedia.com](mailto:charlie.morrow@cognitomedia.com)**

View original content to download multimedia:<http://www.prnewswire.com/news-releases/digitizing-and-streamlining-securities-based-lending-from-end-to-end-in-the-cloud-301157748.html>

SOURCE Broadridge Financial Solutions, Inc.