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RMA's Committee on Securities Lending was formed in 1983. In its early years, it embarked on a series of educational programs designed to enhance the professionalism of bankers engaged in securities lending. The following programs have been developed by SL professionals to reflect the latest issues in the industry:

- Introduction to Securities Lending
- Advanced Topics in Securities Lending
- Understanding Collateral Management

RMA also serves the securities lending industry by organizing networking and peer sharing events for industry professionals to discuss the latest challenges in the market:

Round Tables

- Securities Lending Institutional Contacts' Round Table
- Securities Lending Operations and Technology Mangers' Round Table

Two Major Conferences

- RMA Conference on Securities Finance and Collateral Management
- RMA & PASLA Conference on Asian Securities Lending, jointly sponsored by RMA and the Pan Asian Securities Lending Association (PASLA) based in Hong Kong.

Survey: The RMA Securities Lending Council and its member institutions have developed an aggregate composite survey that measures various performance indicators within the securities lending marketplace. The Council maintains an active dialogue and helps to coordinate industry initiatives with other associations, including The Securities Industry Financial Markets Association's (SIFMA) Securities Lending Division, International Securities Lending Association (ISLA), and Pan Asian Securities Lending Association (PASLA).

The Council also discusses industry issues with regulators in the U.S. and internationally. As a professional association with extensive contacts in the industry, RMA regularly facilitates meetings with senior level officials of regulatory agencies.

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EquiLend is a global financial technology firm offering trading, post-trade, market data, regulatory and clearing services for the securities finance, collateral and swaps industries. EquiLend has offices in New York, Boston, Toronto, London, Dublin, Hong Kong and Tokyo.

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Type of firm
EquiLend Clearing Services (ECS) provides direct connectivity to CCPs for central clearing of securities finance trades. ECS offers powerful trading and post-trade tools that improve efficiency and mitigate risk. ECS is a division of EquiLend, a global financial technology firm offering trading, post-trade, market data, regulatory and clearing services for the securities finance, collateral and swaps industries. www.equilendclearing.com

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Type of firm
EquiLend Spire is a state-of-the-art platform and technology-driven hub for securities finance firms of all types, including agent lenders, prime brokers, retail brokers, beneficial owners and collateral managers. Using EquiLend Spire, firms can consolidate disparate systems by adopting a comprehensive, full-service offering covering the front, middle and back office, or choose one or more modules that complement and are interoperable with their existing technology. EquiLend Spire is a division of EquiLend, a global financial technology firm offering trading, post-trade, market data, regulatory and clearing services for the securities finance, collateral and swaps industries.

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Type of firm
Global Financial Technology Provider

Representing the fusion of Wall Street expertise and Silicon Valley technology, GLMX was founded by a group of seasoned Money Market professionals in 2010. Funded by a leading west coast venture capital firm, GLMX utilizes cutting edge technology to bring unprecedented trading and liquidity management workflow efficiencies to the global securities financing markets.

Securities financing activities
Fixed Income REPO, Equity REPO, Fixed Income lending and borrowing, Equity lending and borrowing

Main collateral types
Global Fixed Income and Global Equity

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Type of firm
Financial Information Services

IHS Markit securities finance dataset covers more than $23 trillion of global securities in the lending programmes of more than 22,000 institutional funds. It includes more than eleven years of history with over three million intraday transactions. Our data is sourced directly from leading industry practitioners, including prime brokers, custodians, asset managers and hedge funds and is recognized as the independent source of such data in the marketplace.

Our securities finance offering provides insight into market sentiment and trading transparency from a macro to individual stock level. It also delivers Tri-Party Repo data and analytics to provide enhanced visibility and insight into the market for collateral cash investments, demand, pricing and usage. Collateral and funding managers of prime dealers, banks, money market funds, securities lenders, hedge funds, insurance companies and corporations can benefit from our comprehensive combination of repo and securities lending data and analytics

IHS Markit offers a fully hosted data and reporting solution for Securities Financing Transactions Regulation (SFTR) that sets an industry wide standard, providing the foundation needed to reconcile trading activity down to the Unique Trade Identifier (UTI) and Legal Entity Identifier (LEI) level of granularity. The SFTR solution will also offer participants turnkey connectivity to Trade Repositories.

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Type of firm
Swaptimization is a technology solution designed to provide automation to global equity total return swap (TRS) trading workflow. Swaptimization is a division of EquiLend, global financial technology firm offering trading, post-trade, market data, regulatory and clearing services for the securities finance, collateral and swaps industries.

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Tradeweb Markets Inc. (Nasdaq: TW) is a leading, global operator of electronic marketplaces for rates, credit, equities and money markets. Tradeweb provides access to markets, data and analytics, electronic trading, straight-through processing and reporting for more than 40 products to clients in the institutional, wholesale and retail markets. Advanced technologies developed by Tradeweb enhance price discovery, order execution and trade workflows while allowing the greater scale and helping to reduce risks in client trading operations. Tradeweb serves approximately 2,500 clients in more than 65 countries. On average, Tradeweb facilitated more than $700 billion in notional value traded per day over the past four fiscal quarters.

Repo Products Traded
U.S. Treasuries, European Government Bonds, Corporate Bonds, Euro, GBP, JPY, SEK, NOK, DKK, AUD, NZD, CHF and Triparty

Trade Types
Repo and Reverse, Buy/Sell and Sell/Buy

Protocols
All-or-nothing, non-contingent, fixed and floating, GC Baskets, GC vs Specials (zero net cash)

Settlement
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Type of firm
Technology Provider

Transcend empowers financial institutions to rethink how to optimize collateral, increase liquidity and seize new opportunities. Harmonize live positions, transactions and contractual data from across the enterprise to gain a new level of insight. With a modular approach and seamless workflows, connect front-office decision-making with back-office operations to unlock greater efficiency, optimize collateral and drive better results. Founded in 2013, Transcend is a global solutions provider.

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Type of firm
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Wall Street Options (WSO) provides human capital solutions for the financial services industry encompassing retained search, temporary consultants and career management services. Our clients range from start-ups to the leading financial institutions. Our goal is to provide hiring managers and human resources professionals with cost effective, high-touch recruiting and advanced technology to assist with hiring premiere professionals resulting in increased profitability and long term success.

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Type of firm
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Our securities finance offering provides insight into market sentiment and trading transparency from a macro to individual stock level. It also delivers Tri-Party Repo data and analytics to provide enhanced visibility and insight into the market for collateral cash investments, demand, pricing and usage. Collateral and funding managers of prime dealers, banks, money market funds, securities lenders, hedge funds, insurance companies and corporations can benefit from our comprehensive combination of repo and securities lending data and analytics

IHS Markit offers a fully hosted data and reporting solution for Securities Financing Transactions Regulation (SFTR) that sets an industry wide standard, providing the foundation needed to reconcile trading activity down to the Unique Trade Identifier (UTI) and Legal Entity Identifier (LEI) level of granularity. The SFTR solution will also offer participants turnkey connectivity to Trade Repositories.

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Main collateral types
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Securities financing activities
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Main collateral types
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ISF is part of the Global Investor Group and provides in-depth analysis of the latest news and events in the securities finance markets globally. Annual supplements provide insight into the latest developments in securities lending, repo, tri-party and synthetic finance.

The market-leading ISF Directory provides the most comprehensive database of executives involved in securities finance globally in print and online.

The Global Investor Group offers a wealth of news, analysis and data across the Asset Management, Securities Finance, Custody, Fund Services and Derivatives markets in print, online and in person at our global events. The Global Investor Group was created in 2017 bringing together three leading brands – ISF, FOW and Global Investor, to provide unparalleled reach across the buy- and sell-side.

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HQLA^X is a financial technology innovation firm that leverages R3's distributed ledger technology, Corda, to enhance collateral mobility in the global securities financing markets. HQLA^X is creating a fit for purpose, standardised, single marketplace to enable institutional treasurers to:

- More easily fine-tune liquidity metrics for intraday, liquidity coverage ratio and net stable funding ratio liquidity requirements, and
- Better manage margin pledge obligations for counterparty credit exposures.

In March 2018, Deutsche Börse Group and HQLA^X announced a strategic partnership to develop a blockchain solution for collateral swaps in the securities lending markets. The joint operating model improves collateral mobility across a fragmented securities settlement ecosystem. Unlike in traditional settlement, there is no movement of securities between custodians in the HQLA^X operating model. Instead, a digital collateral registry is used to record ownership transfers of baskets of securities, whilst the underlying securities remain static in the custody location of the collateral giver. The platform has been successfully launched in November 2019.

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Designed by traders for traders, we know what it takes to run an efficient desk and what it means to access focussed liquidity. We've addressed the pain points so you can concentrate on striking the best deals with simplified price negotiation, full trade lifecycle management and confidence that your risk and regulatory needs are taken care of.

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MTS has been a trusted facilitator of electronic fixed income markets for over 30 years, trading through a network of over 500 unique counterparties and 1,000 participants across our platforms in Europe and the US with average daily volumes exceeding EUR 100 billion.

MTS delivers one of the primary sources of liquidity in European Repo trading through its MTS Repo platform. It brings together over 150 unique participants across Europe, offering deep liquidity for both cash investors and specific bond traders. The depth of counterparties and range of instruments combined with pricing transparency has made it a benchmark electronic trading platform for the European repo market.

MTS's D2C segment for the repo market on MTS BondVision UK combines the functionality and technology of its established D2D Repo and D2C Cash platforms to create a dedicated new section on MTS BondVision, enabling direct electronic D2C trading in repo contracts. With a desktop presence at over 100 sell-side institutions via its MTS Repo platform, and over 400 buy-side institutions via its MTS BondVision platform for cash bonds, MTS is ideally placed to help buy-side clients seeking access to balance sheet in an environment of reduced collateral availability and increased regulatory burden. The unique dealer axe pages help highlight dealer inventory, linking to interdealer quotes to ensure axe integrity.

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Trading Venue

Tradeweb Markets Inc. (Nasdaq: TW) is a leading, global operator of electronic marketplaces for rates, credit, equities and money markets. Tradeweb provides access to markets, data and analytics, electronic trading, straight-through processing and reporting for more than 40 products to clients in the institutional, wholesale and retail markets. Advanced technologies developed by Tradeweb enhance price discovery, order execution and trade workflows while allowing the greater scale and helping to reduce risks in client trading operations. Tradeweb serves approximately 2,500 clients in more than 65 countries. On average, Tradeweb facilitated more than $700 billion in notional value traded per day over the past four fiscal quarters.

Repo Products Traded
U.S. Treasuries, European Government Bonds, Corporate Bonds, Euro, GBP, JPY, SEK, NOK, DKK, AUD, NZD, CHF and Triparty

Trade Types
Repo and Reverse, Buy/Sell and Sell/Buy

Protocols
All-or-nothing, non-contingent, fixed and floating, GC Baskets, GC vs Specials (zero net cash)

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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. As of Sept. 30, 2016, BNY Mellon had $30.5 trillion in assets under custody and/or administration, and $1.7 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. Follow us on Twitter @BNYMellon or visit our newsroom at www.bnymellon.com/newsroom for the latest company news.

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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. As of Sept. 30, 2016, BNY Mellon had $30.5 trillion in assets under custody and/or administration, and $1.7 trillion in assets under management.

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BNP Paribas Securities Services is a global and local custodian servicing both sell-side and buy-side clients, with local expertise in 35 markets around the world and a global reach covering 90+ markets. As of 30 June 2019, BNP Paribas Securities Services had more than USD 11.5 trillion in assets under custody.

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BAHAMAS
Funding & collateral

Royal Bank of Canada

Royal Bank of Canada

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Type of firm
Bank

Royal Bank of Canada is a global financial institution with 85,000+ employees.

As Canada's biggest bank and one of the largest in the world based on market capitalization, we have a diversified business model with a focus on innovation and providing exceptional experiences to our 17 million clients in Canada, the U.S. and 34 other countries.

RBC Capital Markets is recognised by the most significant corporations, institutional investors, asset managers, private equity firms, governments around the globe in capital markets, banking, and finance with over 7,900 employees across North America, Europe, and the Asia-Pacific region in 70 offices and 15 countries. Central Funding ("CFG") operates a global secured finance business providing short-term funding secured by collateral - typically fixed income and equity securities and structured credit assets.

CFG is a global business with over 200 employees operating in London, New York, Toronto, Bridgetown, Nassau, Guernsey and Sydney.

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Royal Bank of Canada is a global financial institution with 85,000+ employees.

As Canada's biggest bank and one of the largest in the world based on market capitalization, we have a diversified business model with a focus on innovation and providing exceptional experiences to our 17 million clients in Canada, the U.S. and 34 other countries.

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Type of firm
Investment Bank

BMO Capital Markets is a leading, full-service North American-based financial services provider offering corporate, institutional and government clients access to a complete range of products and services. These include equity and debt underwriting, corporate lending and project financing, merger and acquisitions advisory services, securitization, treasury management, market risk management, debt and equity research and institutional sales and trading.

With approximately 2,500 professionals in 30 locations around the world, including 16 offices in North America, BMO Capital Markets works proactively with clients to provide innovative and integrated financial solutions.

BMO Capital Markets is a member of BMO Financial Group (NYSE, TSX: BMO), one of the largest diversified financial services providers in North America with US$589 billion total assets and over 45,000 employees as at July 31, 2018. For more information, visit www.bmocm.com

Securities financing activities
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Prime brokerage activities
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Royal Bank of Canada

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Type of firm
Bank

Royal Bank of Canada is a global financial institution with 85,000+ employees.

As Canada's biggest bank and one of the largest in the world based on market capitalization, we have a diversified business model with a focus on innovation and providing exceptional experiences to our 17 million clients in Canada, the U.S. and 34 other countries.

RBC Capital Markets is recognised by the most significant corporations, institutional investors, asset managers, private equity firms, governments around the globe in capital markets, banking, and finance with over 7,900 employees across North America, Europe, and the Asia-Pacific region in 70 offices and 15 countries. Central Funding ("CFG") operates a global secured finance business providing short-term funding secured by collateral - typically fixed income and equity securities and structured credit assets.

CFG is a global business with over 200 employees operating in London, New York, Toronto, Bridgetown, Nassau, Guernsey and Sydney.

Securities financing activities
GC, Non-Cash funding/collateral trading

Main collateral types
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Type of firm
Investment Bank

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Securities financing activities
Global Equities

Prime brokerage activities
Synthetics and Equity Repo

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Type of firm
Investment Company offering investment management, investment services and wealth management

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. As of Sept. 30, 2016, BNY Mellon had $30.5 trillion in assets under custody and/or administration, and $1.7 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. Follow us on Twitter @BNYMellon or visit our newsroom at www.bnymellon.com/newsroom for the latest company news.

Securities financing activities
Fixed income lending and borrowing, Corporate bond lending and borrowing, Fixed Income REPO

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Royal Bank of Canada

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Type of firm
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Royal Bank of Canada is a global financial institution with 85,000+ employees.

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CFG is a global business with over 200 employees operating in London, New York, Toronto, Bridgetown, Nassau, Guernsey and Sydney.

Securities financing activities
Government/Corporate Bond Repo

Main Collateral types
Global Fixed Income, Global Equity, Structured Credit, Major Currencies

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Type of firm
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Securities financing activities
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Type of firm
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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. As of Sept. 30, 2016, BNY Mellon had $30.5 trillion in assets under custody and/or administration, and $1.7 trillion in assets under management.

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Securities financing activities
Securities lending and borrowing, Collateral Management, Cash Reinvestment

Main collateral types
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Type of firm
Investment Company offering investment management, investment services and wealth management

Securities financing activities
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RBC Investor & Treasury Services (RBC I&TS) is a specialist provider of asset services, custody, payments and treasury and market services for financial and other institutional investors worldwide, with over 4,500 employees in 17 countries across North America, Europe, Asia and Australia. We deliver services which safeguard client assets, underpinned by client-centric digital solutions which continue to be enhanced and evolved in line with our clients' changing needs. Trusted with CAD 4.2 trillion in client assets under administration(1), RBC I&TS is a financially strong partner with among the highest credit ratings globally(2).

Clients benefit from the long-standing experience and specialized expertise of our securities finance program:
- Tailored program based on clients' risk and return objectives
- Established risk management framework
- Zero losses for beneficial owners since inception
- Over 30 years of experience
- Top custodial lender globally(3)

(1) RBC quarterly results released August 21, 2019
(2) Standard & Poor's (AA-) and Moody's (Aa2) legacy senior long-term debt ratings of Royal Bank of Canada as of August 21, 2019
(3) Global Investor/ISF 2019 Beneficial Owners Survey, #1 custodial lender globally in unweighted category

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Securities financing activities
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Type of firm
Broker Dealer

BCS Financial Group is a leading financial service group that provides innovative and customizable high and low touch trading solutions for Russia and core global & emerging markets.

In 2012, BCS Financial Group launched its Global Markets and Investment Banking division to build on its existing strengths and leading position in the Russian markets. BCS UK provides the cornerstone for the firm's global markets and investment banking activities, offering a suite of financial services to European and international clients.

BCS offers all clients easy market access through solutions tailored to meet their specific requirements. Providing exclusive investment banking services to professional investors, BCS UK is well positioned to partner with its clients and provide them with access to the complete range of BCS Financial Group services, including the latest technologies and bespoke trading solutions for both Russian and global markets

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Type of firm
Investment Bank

BMO Capital Markets is a leading, full-service North American-based financial services provider offering corporate, institutional and government clients access to a complete range of products and services. These include equity and debt underwriting, corporate lending and project financing, merger and acquisitions advisory services, securitization, treasury management, market risk management, debt and equity research and institutional sales and trading.

With approximately 2,500 professionals in 30 locations around the world, including 16 offices in North America, BMO Capital Markets works proactively with clients to provide innovative and integrated financial solutions.

BMO Capital Markets is a member of BMO Financial Group (NYSE, TSX: BMO), one of the largest diversified financial services providers in North America with US$589 billion total assets and over 45,000 employees as at July 31, 2018. For more information, visit www.bmocm.com/.

Securities financing activities
Global Equities

Prime brokerage activities
Synthetics and Equity Repo

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Type of firm
Investment Bank

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Securities financing activities
Global Equities

Prime brokerage activities
Synthetics and Equity Repo

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Type of firm
Global Financial Technology Provider

Representing the fusion of Wall Street expertise and Silicon Valley technology, GLMX was founded by a group of seasoned Money Market professionals in 2010. Funded by a leading west coast venture capital firm, GLMX utilizes cutting edge technology to bring unprecedented trading and liquidity management workflow efficiencies to the global securities financing markets.

Securities financing activities
Fixed Income REPO, Equity REPO, Fixed Income lending and borrowing, Equity lending and borrowing

Main collateral types
Global Fixed Income and Global Equity

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Natixis is a French multinational financial services firm specialized in asset & wealth management, corporate & investment banking, insurance and payments. A subsidiary of Groupe BPCE, the second-largest banking group in France through its two retail banking networks, Banque Populaire and Caisse d'Epargne, Natixis counts nearly 16,000 employees across 38 countries. Its clients include corporations, financial institutions, sovereign and supranational organizations, and the customers of Groupe BPCE's networks.

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Type of firm
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Royal Bank of Canada is a global financial institution with 85,000+ employees. As Canada's biggest bank and one of the largest in the world based on market capitalization, we have a diversified business model with a focus on innovation and providing exceptional experiences to our 17 million clients in Canada, the U.S. and 34 other countries.

RBC Capital Markets is recognised by the most significant corporations, institutional investors, asset managers, private equity firms, governments around the globe in capital markets, banking, and finance with over 7,900 employees across North America, Europe, and the Asia-Pacific region in 70 offices and 15 countries. Central Funding ("CFG") operates a global secured finance business providing short-term funding secured by collateral - typically fixed income and equity securities and structured credit assets.

CFG is a global business with over 200 employees operating in London, New York, Toronto, Bridgetown, Nassau, Guernsey and Sydney.

Main collateral types
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Type of firm
Banking

Standard Chartered Bank is one of the leading Repo and collateral trading banks with particular focus on Asia, Africa and the Middle East. We've got the global network, deep expertise and innovative vision to meet all your financing needs and more.

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Type of firm
Technology Provider

Transcend empowers financial institutions to rethink how to optimize collateral, increase liquidity and seize new opportunities. Harmonize live positions, transactions and contractual data from across the enterprise to gain a new level of insight. With a modular approach and seamless workflows, connect front-office decision-making with back-office operations to unlock greater efficiency, optimize collateral and drive better results. Founded in 2013, Transcend is a global solutions provider.

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Type of firm
Broker Dealer

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Type of firm
Investment Bank

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Securities financing activities
Global Equities

Prime brokerage activities
Synthetics and Equity Repo

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Type of firm
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Securities financing activities
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Prime brokerage activities
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Type of firm
Investment Company offering investment management, investment services and wealth management

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. As of Sept. 30, 2016, BNY Mellon had $30.5 trillion in assets under custody and/or administration, and $1.7 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. Follow us on Twitter @BNYMellon or visit our newsroom at www.bnymellon.com/newsroom for the latest company news.

Securities financing activities
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Type of firm
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Type of firm
Global Financial Technology Provider

Representing the fusion of Wall Street expertise and Silicon Valley technology, GLMX was founded by a group of seasoned Money Market professionals in 2010. Funded by a leading west coast venture capital firm, GLMX utilizes cutting edge technology to bring unprecedented trading and liquidity management workflow efficiencies to the global securities financing markets.

Securities financing activities
Fixed Income REPO, Equity REPO, Fixed Income lending and borrowing, Equity lending and borrowing

Main collateral types
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Agency Lender

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As Canada's biggest bank and one of the largest in the world based on market capitalization, we have a diversified business model with a focus on innovation and providing exceptional experiences to our 17 million clients in Canada, the U.S. and 34 other countries.

RBC Capital Markets is recognised by the most significant corporations, institutional investors, asset managers, private equity firms, governments around the globe in capital markets, banking, and finance with over 7,900 employees across North America, Europe, and the Asia-Pacific region in 70 offices and 15 countries. Central Funding ("CFG") operates a global secured finance business providing short-term funding secured by collateral - typically fixed income and equity securities and structured credit assets.

CFG is a global business with over 200 employees operating in London, New York, Toronto, Bridgetown, Nassau, Guernsey and Sydney.

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Type of firm
Trading Venue

Tradeweb Markets Inc. (Nasdaq: TW) is a leading, global operator of electronic marketplaces for rates, credit, equities and money markets. Tradeweb provides access to markets, data and analytics, electronic trading, straight-through processing and reporting for more than 40 products to clients in the institutional, wholesale and retail markets. Advanced technologies developed by Tradeweb enhance price discovery, order execution and trade workflows while allowing the greater scale and helping to reduce risks in client trading operations. Tradeweb serves approximately 2,500 clients in more than 65 countries. On average, Tradeweb facilitated more than $700 billion in notional value traded per day over the past four fiscal quarters.

Repo Products Traded
U.S. Treasuries, European Government Bonds, Corporate Bonds, Euro, GBP, JPY, SEK, NOK, DKK, AUD, NZD, CHF and Triparty

Trade Types
Repo and Reverse, Buy/Sell and Sell/Buy

Protocols
All-or-nothing, non-contingent, fixed and floating, GC Baskets, GC vs Specials (zero net cash)

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Type of firm
Technology Provider

Transcend empowers financial institutions to rethink how to optimize collateral, increase liquidity and seize new opportunities. Harmonize live positions, transactions and contractual data from across the enterprise to gain a new level of insight. With a modular approach and seamless workflows, connect front-office decision-making with back-office operations to unlock greater efficiency, optimize collateral and drive better results. Founded in 2013, Transcend is a global solutions provider.

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Type of firm
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BCS Financial Group is a leading financial service group that provides innovative and customizable high and low touch trading solutions for Russia and core global & emerging markets.

In 2012, BCS Financial Group launched its Global Markets and Investment Banking division to build on its existing strengths and leading position in the Russian markets. BCS UK provides the cornerstone for the firm's global markets and investment banking activities, offering a suite of financial services to European and international clients.

BCS offers all clients easy market access through solutions tailored to meet their specific requirements. Providing exclusive investment banking services to professional investors, BCS UK is well positioned to partner with its clients and provide them with access to the complete range of BCS Financial Group services, including the latest technologies and bespoke trading solutions for both Russian and global markets

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Type of firm
Investment Bank

Securities financing activities
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Synthetics and Equity Repo

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Type of firm
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BMO Capital Markets is a leading, full-service North American-based financial services provider offering corporate, institutional and government clients access to a complete range of products and services. These include equity and debt underwriting, corporate lending and project financing, merger and acquisitions advisory services, securitization, treasury management, market risk management, debt and equity research and institutional sales and trading.

With approximately 2,500 professionals in 30 locations around the world, including 16 offices in North America, BMO Capital Markets works proactively with clients to provide innovative and integrated financial solutions.

BMO Capital Markets is a member of BMO Financial Group (NYSE, TSX: BMO), one of the largest diversified financial services providers in North America with US$589 billion total assets and over 45,000 employees as at July 31, 2018. For more information, visit www.bmocm.com

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Type of firm
Custodian Bank

BNP Paribas Securities Services, a wholly owned subsidiary of the BNP Paribas Group, is a leading global custodian and securities services provider. Backed by the strength of the BNP Paribas Group, we provide multi-asset post-trade and asset servicing solutions for buy and sell-side market participants, corporates and issuers. With local expertise in 35 countries and a global reach covering 90+ markets, our network is one of the most extensive in the industry, enabling clients to maximise their investment opportunities worldwide. With in-depth knowledge of global markets across multiple asset classes and currencies, BNP Paribas Securities Services has supported securities lending and borrowing activities for many years. Our proven track record in the securities lending and borrowing industry is the result of strong trading expertise, robust risk management policy and control and the continuous development of operational efficiencies.

Securities financing activities
Agency and Third Party Securities Lending

Main collateral types
Cash, Non Cash

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Type of firm
Investment Company offering investment management, investment services and wealth management

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. As of Sept. 30, 2016, BNY Mellon had $30.5 trillion in assets under custody and/or administration, and $1.7 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. Follow us on Twitter @BNYMellon or visit our newsroom at www.bnymellon.com/newsroom for the latest company news.

Securities financing activities
Stock lending and borrowing, Corporate bond lending and borrowing, Equity Repo, Fixed income lending and borrowing, Fixed Income REPO

Main collateral types
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Type of firm
Investment Bank

Deutsche Bank's Agency Securities Lending programme provides institutional clients with turnkey access to the world's securities lending and repo markets.

Our experienced team is located across multiple time zones helping clients to generate liquidity and incremental returns wherever they are invested. We specialise in non-custodial lending strategies and liquidity management strategies and work consultatively to design the optimum solution for each client. Our global presence and distribution capabilities, operating model flexibility, choice of routes to market (agency and principal lending) and greater access to liquidity solutions are among the key features and benefits of our programme.

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Type of firm
Global Financial Technology Provider

Representing the fusion of Wall Street expertise and Silicon Valley technology, GLMX was founded by a group of seasoned Money Market professionals in 2010. Funded by a leading west coast venture capital firm, GLMX utilizes cutting edge technology to bring unprecedented trading and liquidity management workflow efficiencies to the global securities financing markets.

Securities financing activities
Fixed Income REPO, Equity REPO, Fixed Income lending and borrowing, Equity lending and borrowing

Main collateral types
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IHS Markit offers a fully hosted data and reporting solution for Securities Financing Transactions Regulation (SFTR) that sets an industry wide standard, providing the foundation needed to reconcile trading activity down to the Unique Trade Identifier (UTI) and Legal Entity Identifier (LEI) level of granularity. The SFTR solution will also offer participants turnkey connectivity to Trade Repositories.

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Type of firm
Technology Provider

Transcend empowers financial institutions to rethink how to optimize collateral, increase liquidity and seize new opportunities. Harmonize live positions, transactions and contractual data from across the enterprise to gain a new level of insight. With a modular approach and seamless workflows, connect front-office decision-making with back-office operations to unlock greater efficiency, optimize collateral and drive better results. Founded in 2013, Transcend is a global solutions provider.

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Type of firm
Investment Bank

BMO Capital Markets is a leading, full-service North American-based financial services provider offering corporate, institutional and government clients access to a complete range of products and services. These include equity and debt underwriting, corporate lending and project financing, merger and acquisitions advisory services, securitization, treasury management, market risk management, debt and equity research and institutional sales and trading.

With approximately 2,500 professionals in 30 locations around the world, including 16 offices in North America, BMO Capital Markets works proactively with clients to provide innovative and integrated financial solutions.

BMO Capital Markets is a member of BMO Financial Group (NYSE, TSX: BMO), one of the largest diversified financial services providers in North America with US$589 billion total assets and over 45,000 employees as at July 31, 2018. For more information, visit www.bmocm.com/.

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Type of firm
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Royal Bank of Canada is a global financial institution with 85,000+ employees.

As Canada's biggest bank and one of the largest in the world based on market capitalization, we have a diversified business model with a focus on innovation and providing exceptional experiences to our 17 million clients in Canada, the U.S. and 34 other countries.

RBC Capital Markets is recognised by the most significant corporations, institutional investors, asset managers, private equity firms, governments around the globe in capital markets, banking, and finance with over 7,900 employees across North America, Europe, and the Asia-Pacific region in 70 offices and 15 countries. Central Funding ("CFG") operates a global secured finance business providing short-term funding secured by collateral - typically fixed income and equity securities and structured credit assets.

CFG is a global business with over 200 employees operating in London, New York, Toronto, Bridgetown, Nassau, Guernsey and Sydney.

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Type of firm
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Type of firm
Custodian Bank

BNP Paribas Securities Services, a wholly owned subsidiary of the BNP Paribas Group, is a leading global custodian and securities services provider. Backed by the strength of the BNP Paribas Group, we provide multi-asset post-trade and asset servicing solutions for buy and sell-side market participants, corporates and issuers. With local expertise in 35 countries and a global reach covering 90+ markets, our network is one of the most extensive in the industry, enabling clients to maximise their investment opportunities worldwide. With in-depth knowledge of global markets across multiple asset classes and currencies, BNP Paribas Securities Services has supported securities lending and borrowing activities for many years. Our proven track record in the securities lending and borrowing industry is the result of strong trading expertise, robust risk management policy and control and the continuous development of operational efficiencies.

Securities financing activities
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Main collateral types
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Type of firm
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IHS Markit securities finance dataset covers more than $23 trillion of global securities in the lending programmes of more than 22,000 institutional funds. It includes more than eleven years of history with over three million intraday transactions. Our data is sourced directly from leading industry practitioners, including prime brokers, custodians, asset managers and hedge funds and is recognized as the independent source of such data in the marketplace.

Our securities finance offering provides insight into market sentiment and trading transparency from a macro to individual stock level. It also delivers Tri-Party Repo data and analytics to provide enhanced visibility and insight into the market for collateral cash investments, demand, pricing and usage. Collateral and funding managers of prime dealers, banks, money market funds, securities lenders, hedge funds, insurance companies and corporations can benefit from our comprehensive combination of repo and securities lending data and analytics

IHS Markit offers a fully hosted data and reporting solution for Securities Financing Transactions Regulation (SFTR) that sets an industry wide standard, providing the foundation needed to reconcile trading activity down to the Unique Trade Identifier (UTI) and Legal Entity Identifier (LEI) level of granularity. The SFTR solution will also offer participants turnkey connectivity to Trade Repositories.

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RBC Investor & Treasury Services (RBC I&TS) is a specialist provider of asset services, custody, payments and treasury and market services for financial and other institutional investors worldwide, with over 4,500 employees in 17 countries across North America, Europe, Asia and Australia. We deliver services which safeguard client assets, underpinned by client-centric digital solutions which continue to be enhanced and evolved in line with our clients' changing needs. Trusted with CAD 4.2 trillion in client assets under administration(1), RBC I&TS is a financially strong partner with among the highest credit ratings globally(2).

Clients benefit from the long-standing experience and specialized expertise of our securities finance program:
- Tailored program based on clients' risk and return objectives
- Established risk management framework
- Zero losses for beneficial owners since inception
- Over 30 years of experience
- Top custodial lender globally(3)

(1) RBC quarterly results released August 21, 2019
(2) Standard & Poor's (AA-) and Moody's (Aa2) legacy senior long-term debt ratings of Royal Bank of Canada as of August 21, 2019
(3) Global Investor/ISF 2019 Beneficial Owners Survey, #1 custodial lender globally in unweighted category

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With approximately 2,500 professionals in 30 locations around the world, including 16 offices in North America, BMO Capital Markets works proactively with clients to provide innovative and integrated financial solutions.

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Standard Chartered Bank is one of the leading Repo and collateral trading banks with particular focus on Asia, Africa and the Middle East. We've got the global network, deep expertise and innovative vision to meet all your financing needs and more.

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Type of firm
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BNP Paribas Securities Services, a wholly owned subsidiary of the BNP Paribas Group, is a leading global custodian and securities services provider. Backed by the strength of the BNP Paribas Group, we provide multi-asset post-trade and asset servicing solutions for buy and sell-side market participants, corporates and issuers. With local expertise in 35 countries and a global reach covering 90+ markets, our network is one of the most extensive in the industry, enabling clients to maximise their investment opportunities worldwide. With in-depth knowledge of global markets across multiple asset classes and currencies, BNP Paribas Securities Services has supported securities lending and borrowing activities for many years. Our proven track record in the securities lending and borrowing industry is the result of strong trading expertise, robust risk management policy and control and the continuous development of operational efficiencies.

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Standard Chartered Bank is one of the leading Repo and collateral trading banks with particular focus on Asia, Africa and the Middle East. We've got the global network, deep expertise and innovative vision to meet all your financing needs and more. We also offer Fixed Income Prime Brokerage and Securities Lending services for both Equity and Fixed Income.

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Type of firm
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Type of firm
Investment Company offering investment management, investment services and wealth management

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. As of Sept. 30, 2016, BNY Mellon had $30.5 trillion in assets under custody and/or administration, and $1.7 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. Follow us on Twitter @BNYMellon or visit our newsroom at www.bnymellon.com/newsroom for the latest company news.

Securities financing activities
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Main collateral types
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Investment Bank

Deutsche Bank's Agency Securities Lending programme provides institutional clients with turnkey access to the world's securities lending and repo markets.

Our experienced team is located across multiple time zones helping clients to generate liquidity and incremental returns wherever they are invested. We specialise in non-custodial lending strategies and liquidity management strategies and work consultatively to design the optimum solution for each client. Our global presence and distribution capabilities, operating model flexibility, choice of routes to market (agency and principal lending) and greater access to liquidity solutions are among the key features and benefits of our programme.

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IHS Markit securities finance dataset covers more than $23 trillion of global securities in the lending programmes of more than 22,000 institutional funds. It includes more than eleven years of history with over three million intraday transactions. Our data is sourced directly from leading industry practitioners, including prime brokers, custodians, asset managers and hedge funds and is recognized as the independent source of such data in the marketplace.

Our securities finance offering provides insight into market sentiment and trading transparency from a macro to individual stock level. It also delivers Tri-Party Repo data and analytics to provide enhanced visibility and insight into the market for collateral cash investments, demand, pricing and usage. Collateral and funding managers of prime dealers, banks, money market funds, securities lenders, hedge funds, insurance companies and corporations can benefit from our comprehensive combination of repo and securities lending data and analytics

IHS Markit offers a fully hosted data and reporting solution for Securities Financing Transactions Regulation (SFTR) that sets an industry wide standard, providing the foundation needed to reconcile trading activity down to the Unique Trade Identifier (UTI) and Legal Entity Identifier (LEI) level of granularity. The SFTR solution will also offer participants turnkey connectivity to Trade Repositories.

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In today's changing environment, we are currently focused on overseas markets, expanding our business through strengthening our global network of securities companies and institutional investors, especially for securities lending/borrowing, collateral upgrade/downgrade, equities financing and TRS.

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Our securities finance offering provides insight into market sentiment and trading transparency from a macro to individual stock level. It also delivers Tri-Party Repo data and analytics to provide enhanced visibility and insight into the market for collateral cash investments, demand, pricing and usage. Collateral and funding managers of prime dealers, banks, money market funds, securities lenders, hedge funds, insurance companies and corporations can benefit from our comprehensive combination of repo and securities lending data and analytics

IHS Markit offers a fully hosted data and reporting solution for Securities Financing Transactions Regulation (SFTR) that sets an industry wide standard, providing the foundation needed to reconcile trading activity down to the Unique Trade Identifier (UTI) and Legal Entity Identifier (LEI) level of granularity. The SFTR solution will also offer participants turnkey connectivity to Trade Repositories.

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HSBC

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HSBC

The evolving landscape of UCITS

The last decade has witnessed a rise in prominence of UCITS (Undertakings for Collective Investment in Transferable Securities) within the European alternatives industry. With unparalleled regulatory security and global distribution footprint; UCITS have become an attractive investment vehicle for hedge funds.

However, this has not always been the case. Originally a mutual fund wrapper which emerged in the 1980's, UCITS were generally considered vanilla in nature, and their stringent regulatory oversight and investment restrictions didn't fit well with the more agile investment strategies that hedge funds offered. However, the guidelines evolved over time. Following the expansion of products permitted under UCITS III in 2003, funds were able to use both Exchange Traded and OTC derivatives within their investment processes; which in turn allowed hedge fund managers to use OTC derivatives for shorting securities.

The 2008 financial crisis paved the way for UCITS to emerge as an interesting substitute for offshore hedge fund structures. Aptly labelled "alternative" UCITS, adoption of the structure took off at the start of the last decade and have rapidly become the preferred choice for a large number of hedge fund managers looking to attract investment in continental Europe.

Benefits of the UCITS framework for alternative investment managers and their investors

Since UCITS became the regulated framework of choice post crisis, the key overriding benefits to investors have been threefold; liquidity; regulatory oversight; and lower fees. Alternative UCITS managers will commonly adopt daily or weekly liquidity for their funds, which offers investors the ability to withdraw their cash more efficiently in comparison to other fund structures. Similarly, the increased regulatory oversight and standardised operating framework provides a fundamental level of transparency, reporting and analytics which allows investors to streamline internal processes. Alongside these advantages, there is the additional draw of lower fees, especially, when compared to the majority of their offshore peers.

Nonetheless, UCITS have faced various challenges over the last decade. Issues involving tracking error, competing structures emerging as credible alternatives (such as AIFMs), and the closure or selling-on of various UCITS hosting platforms, have clearly disrupted their demand. Despite this, Assets Under Management (AUM) for the alternative UCITS universe currently stand at just below EUR400bn*, quadrupling since 2008. Whilst we have seen a drop in momentum since Q1 2018, there has been an observable uptick in the later part of 2019. High profile global managers with their headquarters based outside of Europe, particularly in the US, have setup UCITS as a regulated access point to the European investor market This adoption continues to bolster and sit alongside European based managers who continue to add UCITS funds to their existing product suites. These additional launches bring the number of funds in Alternative UCITS to over 1,350* as at Oct 2019.

HSBC - The partner of choice for UCITS

Since HSBC launched their Prime business in 2010, using a unique account structure, the business has aligned itself with the UCITS framework and embodied its values of transparency and stability. HSBC can link multiple product offerings with their Prime platform, which, used in tandem, provide numerous benefits and economies of scale – additional products include Trustee and depositary services, global distribution and transfer agency, Fund Admin and Custody. Furthermore, as an organisation, HSBC have extensive experience in the alternative UCITS space and can act as a trusted advisor and consultant.

HSBC's Prime structure, which uses HSBC Securities Services custody accounts to fully segregate unencumbered client assets, allows them to provide an innovative solution to hedge funds and asset managers looking to enter the alternative UCITS space. Under this differentiated model, HSBC, under the instruction of the client, can use the unencumbered assets as collateral against their other derivative investments (including synthetic shorts), optimising capital deployed and delivering an efficient financing solution. Further to this, daily Custody and Prime Finance client management are brought together, which again, provides operational efficiency and consolidated reporting increasing consistency in the overall UCITS client experience.

If you have any questions around HSBC's Prime UCITS offering, please reach out to James at HSBC: james.hepworth@hsbc.com

**LuxHedge monthly factsheet Oct 2019*

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*Group 2 - Global Market Lenders and Borrowers were split into 2 groups based on the volume traded

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With approximately 2,500 professionals in 30 locations around the world, including 16 offices in North America, BMO Capital Markets works proactively with clients to provide innovative and integrated financial solutions.

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CACEIS is an asset servicing banking group dedicated to institutional and corporate clients. Through offices across Europe, North America and Asia, we are one of the world's market leaders in asset servicing, Europe's second depositary bank and the leading fund administrator for European funds.

CACEIS's Equity Finance desk designs bespoke securities lending, liquidity and collateral management services for its clients, leveraging the group's core asset servicing business as well as our broad regulatory expertise to meet our clients' specific risk/return requirements.

With fully-integrated dealing and operational processes underpinning both our principal and agency programmes, CACEIS is an effective partner for managers seeking to enhance asset performance through Equity Finance.

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HQLAx is a financial technology innovation firm that leverages R3's distributed ledger technology, Corda, to enhance collateral mobility in the global securities financing markets. HQLAx is creating a fit for purpose, standardised, single marketplace to enable institutional treasurers to:

- More easily fine-tune liquidity metrics for intraday, liquidity coverage ratio and net stable funding ratio liquidity requirements, and
- Better manage margin pledge obligations for counterparty credit exposures.

In March 2018, Deutsche Börse Group and HQLAx announced a strategic partnership to develop a blockchain solution for collateral swaps in the securities lending markets. The joint operating model improves collateral mobility across a fragmented securities settlement ecosystem. Unlike in traditional settlement, there is no movement of securities between custodians in the HQLAx operating model. Instead, a digital collateral registry is used to record ownership transfers of baskets of securities, whilst the underlying securities remain static in the custody location of the collateral giver. The platform has been successfully launched in November 2019.

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RBC Investor & Treasury Services (RBC I&TS) is a specialist provider of asset services, custody, payments and treasury and market services for financial and other institutional investors worldwide, with over 4,500 employees in 17 countries across North America, Europe, Asia and Australia. We deliver services which safeguard client assets, underpinned by client-centric digital solutions which continue to be enhanced and evolved in line with our clients' changing needs. Trusted with CAD 4.2 trillion in client assets under administration(1), RBC I&TS is a financially strong partner with among the highest credit ratings globally(2).

Clients benefit from the long-standing experience and specialized expertise of our securities finance program:
- Tailored program based on clients' risk and return objectives
- Established risk management framework
- Zero losses for beneficial owners since inception
- Over 30 years of experience
- Top custodial lender globally(3)

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(1) RBC quarterly results released August 21, 2019
(2) Standard & Poor's (AA-) and Moody's (Aa2) legacy senior long-term debt ratings of Royal Bank of Canada as of August 21, 2019
(3) Global Investor/ISF 2019 Beneficial Owners Survey, #1 custodial lender globally in unweighted category"

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Securities financing activities
- Broking services in synthetic products on JSE listed equities
- Agency securities lending (JSE equities and SA Government bonds)
- SA Government Bond repo

Prime brokerage activities
AG Capital provides incubation services, which includes middle and back office assistance, risk management and compliance monitoring. Our platforms are available to established external managers to ensure the successful hedge fund incubation as well as prime broking facilitation. Our offering includes access to AG Capital's existing: • Capital introduction • Synthetic prime brokerage • Cash prime brokerage • Resources • Infrastructure • Experience • Distribution • Support structures • Prime broker network

Main collateral types
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Type of firm
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- Agency securities lending (JSE equities and SA Government bonds)
- SA Government Bond repo

Prime brokerage activities
AG Capital provides incubation services, which includes middle and back office assistance, risk management and compliance monitoring. Our platforms are available to established external managers to ensure the successful hedge fund incubation as well as prime broking facilitation. Our offering includes access to AG Capital's existing: • Capital introduction • Synthetic prime brokerage • Cash prime brokerage • Resources • Infrastructure • Experience • Distribution • Support structures • Prime broker network

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Type of firm
Software provider

HQLA^X is a financial technology innovation firm that leverages R3's distributed ledger technology, Corda, to enhance collateral mobility in the global securities financing markets. HQLA^X is creating a fit for purpose, standardised, single marketplace to enable institutional treasurers to:

- More easily fine-tune liquidity metrics for intraday, liquidity coverage ratio and net stable funding ratio liquidity requirements, and
- Better manage margin pledge obligations for counterparty credit exposures.

In March 2018, Deutsche Börse Group and HQLA^X announced a strategic partnership to develop a blockchain solution for collateral swaps in the securities lending markets. The joint operating model improves collateral mobility across a fragmented securities settlement ecosystem. Unlike in traditional settlement, there is no movement of securities between custodians in the HQLA^X operating model. Instead, a digital collateral registry is used to record ownership transfers of baskets of securities, whilst the underlying securities remain static in the custody location of the collateral giver. The platform has been successfully launched in November 2019.

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Type of firm
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Deutsche Bank's Agency Securities Lending programme provides institutional clients with turnkey access to the world's securities lending and repo markets.

Our experienced team is located across multiple time zones helping clients to generate liquidity and incremental returns wherever they are invested. We specialise in non-custodial lending strategies and liquidity management strategies and work consultatively to design the optimum solution for each client.

Our global presence and distribution capabilities, operating model flexibility, choice of routes to market (agency and principal lending) and greater access to liquidity solutions are among the key features and benefits of our programme.

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BCS Financial Group is a leading financial service group that provides innovative and customizable high and low touch trading solutions for Russia and core global & emerging markets.

In 2012, BCS Financial Group launched its Global Markets and Investment Banking division to build on its existing strengths and leading position in the Russian markets. BCS UK provides the cornerstone for the firm's global markets and investment banking activities, offering a suite of financial services to European and international clients.

BCS offers all clients easy market access through solutions tailored to meet their specific requirements. Providing exclusive investment banking services to professional investors, BCS UK is well positioned to partner with its clients and provide them with access to the complete range of BCS Financial Group services, including the latest technologies and bespoke trading solutions for both Russian and global markets.

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Type of firm
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BMO Capital Markets is a leading, full-service North American-based financial services provider offering corporate, institutional and government clients access to a complete range of products and services. These include equity and debt underwriting, corporate lending and project financing, merger and acquisitions advisory services, securitization, treasury management, market risk management, debt and equity research and institutional sales and trading.

With approximately 2,500 professionals in 30 locations around the world, including 16 offices in North America, BMO Capital Markets works proactively with clients to provide innovative and integrated financial solutions.

BMO Capital Markets is a member of BMO Financial Group (NYSE, TSX: BMO), one of the largest diversified financial services providers in North America with US$589 billion total assets and over 45,000 employees as at July 31, 2018. For more information, visit www.bmocm.com/.

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Designed by traders for traders, we know what it takes to run an efficient desk and what it means to access focussed liquidity. We've addressed the pain points so you can concentrate on striking the best deals with simplified price negotiation, full trade lifecycle management and confidence that your risk and regulatory needs are taken care of.

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Royal Bank of Canada

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Type of firm
Bank

Royal Bank of Canada is a global financial institution with 85,000+ employees.

As Canada's biggest bank and one of the largest in the world based on market capitalization, we have a diversified business model with a focus on innovation and providing exceptional experiences to our 17 million clients in Canada, the U.S. and 34 other countries. RBC Capital Markets is recognised by the most significant corporations, institutional investors, asset managers, private equity firms, governments around the globe in capital markets, banking, and finance with over 7,900 employees across North America, Europe, and the Asia-Pacific region in 70 offices and 15 countries. Central Funding ("CFG") operates a global secured finance business providing short-term funding secured by collateral - typically fixed income and equity securities and structured credit assets.

CFG is a global business with over 200 employees operating in London, New York, Toronto, Bridgetown, Nassau, Guernsey and Sydney.

Securities financing activities
Cash & Non-Cash funding/collateral trading

Main collateral types
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Type of firm
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SOVA Capital Limited is an FCA authorized and regulated broker located in London with a strong equity capital base. We offer institutional and corporate clients a full range of investment brokerage services.

Our aim is to provide a 360° vision on financial markets.

As a leading global independent player with a strong connection to local markets, we work with our clients to help them expand in the most efficient way, to discover new opportunities and to achieve their goals over the long term. We strive to be a safe, innovative and caring partner at every point on a client's route to success, starting with the very first steps of the journey.

SOVA Capital offers its clients a wide range of securities financing and treasury products. Our clients can gain access to a number of geographies and choose from a variety of tenors and structures.

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Type of firm
Prime Brokerage/Broker-Dealer

BCS Financial Group is a leading financial service group that provides innovative and customizable high and low touch trading solutions for Russia and core global & emerging markets.

In 2012, BCS Financial Group launched its Global Markets and Investment Banking division to build on its existing strengths and leading position in the Russian markets. BCS UK provides the cornerstone for the firm's global markets and investment banking activities, offering a suite of financial services to European and international clients.

BCS offers all clients easy market access through solutions tailored to meet their specific requirements. Providing exclusive investment banking services to professional investors, BCS UK is well positioned to partner with its clients and provide them with access to the complete range of BCS Financial Group services, including the latest technologies and bespoke trading solutions for both Russian and global markets

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Type of firm
Custodian Bank

BNP Paribas Securities Services, a wholly owned subsidiary of the BNP Paribas Group, is a leading global custodian and securities services provider. Backed by the strength of the BNP Paribas Group, we provide multi-asset post-trade and asset servicing solutions for buy and sell-side market participants, corporates and issuers. With local expertise in 35 countries and a global reach covering 90+ markets, our network is one of the most extensive in the industry, enabling clients to maximise their investment opportunities worldwide. With in-depth knowledge of global markets across multiple asset classes and currencies, BNP Paribas Securities Services has supported securities lending and borrowing activities for many years. Our proven track record in the securities lending and borrowing industry is the result of strong trading expertise, robust risk management policy and control and the continuous development of operational efficiencies.

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Type of firm
Investment Company offering investment management, investment services and wealth management

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. As of Sept. 30, 2016, BNY Mellon had $30.5 trillion in assets under custody and/or administration, and $1.7 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. Follow us on Twitter @BNYMellon or visit our newsroom at www.bnymellon.com/newsroom for the latest company news.

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Main collateral types
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Representing the fusion of Wall Street expertise and Silicon Valley technology, GLMX was founded by a group of seasoned Money Market professionals in 2010. Funded by a leading west coast venture capital firm, GLMX utilizes cutting edge technology to bring unprecedented trading and liquidity management workflow efficiencies to the global securities financing markets.

Securities financing activities
Fixed Income REPO, Equity REPO, Fixed Income lending and borrowing, Equity lending and borrowing

Main collateral types
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We manage complexity to make your trading simpler It's easy to connect with our award-winning MatchBox platform, enabling you to trade efficiently with the securities finance and equity derivatives market.

Designed by traders for traders, we know what it takes to run an efficient desk and what it means to access focussed liquidity. We've addressed the pain points so you can concentrate on striking the best deals with simplified price negotiation, full trade lifecycle management and confidence that your risk and regulatory needs are taken care of.

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Trading Venue

MTS has been a trusted facilitator of electronic fixed income markets for over 30 years, trading through a network of over 500 unique counterparties and 1,000 participants across our platforms in Europe and the US with average daily volumes exceeding EUR 100 billion.

MTS delivers one of the primary sources of liquidity in European Repo trading through its MTS Repo platform. It brings together over 150 unique participants across Europe, offering deep liquidity for both cash investors and specific bond traders. The depth of counterparties and range of instruments combined with pricing transparency has made it a benchmark electronic trading platform for the European repo market.

MTS's D2C segment for the repo market on MTS BondVision UK combines the functionality and technology of its established D2D Repo and D2C Cash platforms to create a dedicated new section on MTS BondVision, enabling direct electronic D2C trading in repo contracts. With a desktop presence at over 100 sell-side institutions via its MTS Repo platform, and over 400 buy-side institutions via its MTS BondVision platform for cash bonds, MTS is ideally placed to help buy-side clients seeking access to balance sheet in an environment of reduced collateral availability and increased regulatory burden. The unique dealer axe pages help highlight dealer inventory, linking to interdealer quotes to ensure axe integrity.

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Type of firm
Bank

Royal Bank of Canada is a global financial institution with 85,000+ employees.

As Canada's biggest bank and one of the largest in the world based on market capitalization, we have a diversified business model with a focus on innovation and providing exceptional experiences to our 17 million clients in Canada, the U.S. and 34 other countries.

RBC Capital Markets is recognised by the most significant corporations, institutional investors, asset managers, private equity firms, governments around the globe in capital markets, banking, and finance with over 7,900 employees across North America, Europe, and the Asia-Pacific region in 70 offices and 15 countries. Central Funding ("CFG") operates a global secured finance business providing short-term funding secured by collateral - typically fixed income and equity securities and structured credit assets.

CFG is a global business with over 200 employees operating in London, New York, Toronto, Bridgetown, Nassau, Guernsey and Sydney.

Securities financing activities
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Main collateral types
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SOVA Capital Limited is an FCA authorized and regulated broker located in London with a strong equity capital base. We offer institutional and corporate clients a full range of investment brokerage services.

Our aim is to provide a 360° vision on financial markets.

As a leading global independent player with a strong connection to local markets, we work with our clients to help them expand in the most efficient way, to discover new opportunities and to achieve their goals over the long term. We strive to be a safe, innovative and caring partner at every point on a client's route to success, starting with the very first steps of the journey.

SOVA Capital offers its clients a wide range of securities financing and treasury products. Our clients can gain access to a number of geographies and choose from a variety of tenors and structures.

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Type of firm
Banking

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Tradeweb Markets Inc. (Nasdaq: TW) is a leading, global operator of electronic marketplaces for rates, credit, equities and money markets. Tradeweb provides access to markets, data and analytics, electronic trading, straight-through processing and reporting for more than 40 products to clients in the institutional, wholesale and retail markets. Advanced technologies developed by Tradeweb enhance price discovery, order execution and trade workflows while allowing the greater scale and helping to reduce risks in client trading operations. Tradeweb serves approximately 2,500 clients in more than 65 countries. On average, Tradeweb facilitated more than $700 billion in notional value traded per day over the past four fiscal quarters.

Repo Products Traded
U.S. Treasuries, European Government Bonds, Corporate Bonds, Euro, GBP, JPY, SEK, NOK, DKK, AUD, NZD, CHF and Triparty

Trade Types
Repo and Reverse, Buy/Sell and Sell/Buy

Protocols
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BCS Financial Group is a leading financial service group that provides innovative and customizable high and low touch trading solutions for Russia and core global & emerging markets.

In 2012, BCS Financial Group launched its Global Markets and Investment Banking division to build on its existing strengths and leading position in the Russian markets. BCS UK provides the cornerstone for the firm's global markets and investment banking activities, offering a suite of financial services to European and international clients.

BCS offers all clients easy market access through solutions tailored to meet their specific requirements. Providing exclusive investment banking services to professional investors, BCS UK is well positioned to partner with its clients and provide them with access to the complete range of BCS Financial Group services, including the latest technologies and bespoke trading solutions for both Russian and global markets

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BMO Capital Markets is a leading, full-service North American-based financial services provider offering corporate, institutional and government clients access to a complete range of products and services. These include equity and debt underwriting, corporate lending and project financing, merger and acquisitions advisory services, securitization, treasury management, market risk management, debt and equity research and institutional sales and trading.

With approximately 2,500 professionals in 30 locations around the world, including 16 offices in North America, BMO Capital Markets works proactively with clients to provide innovative and integrated financial solutions.

BMO Capital Markets is a member of BMO Financial Group (NYSE, TSX: BMO), one of the largest diversified financial services providers in North America with US$589 billion total assets and over 45,000 employees as at July 31, 2018. For more information, visit www.bmocm.com

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Type of firm
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BNP Paribas Securities Services, a wholly owned subsidiary of the BNP Paribas Group, is a leading global custodian and securities services provider. Backed by the strength of the BNP Paribas Group, we provide multi-asset post-trade and asset servicing solutions for buy and sell-side market participants, corporates and issuers. With local expertise in 35 countries and a global reach covering 90+ markets, our network is one of the most extensive in the industry, enabling clients to maximise their investment opportunities worldwide. With in-depth knowledge of global markets across multiple asset classes and currencies, BNP Paribas Securities Services has supported securities lending and borrowing activities for many years. Our proven track record in the securities lending and borrowing industry is the result of strong trading expertise, robust risk management policy and control and the continuous development of operational efficiencies.

Securities financing activities
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Type of firm
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Type of firm
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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. As of Sept. 30, 2016, BNY Mellon had $30.5 trillion in assets under custody and/or administration, and $1.7 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. Follow us on Twitter @BNYMellon or visit our newsroom at www.bnymellon.com/newsroom for the latest company news.

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Type of firm
Investment Bank

Deutsche Bank's Agency Securities Lending programme provides institutional clients with turnkey access to the world's securities lending and repo markets.

Our experienced team is located across multiple time zones helping clients to generate liquidity and incremental returns wherever they are invested. We specialise in non-custodial lending strategies and liquidity management strategies and work consultatively to design the optimum solution for each client. Our global presence and distribution capabilities, operating model flexibility, choice of routes to market (agency and principal lending) and greater access to liquidity solutions are among the key features and benefits of our programme.

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Representing the fusion of Wall Street expertise and Silicon Valley technology, GLMX was founded by a group of seasoned Money Market professionals in 2010. Funded by a leading west coast venture capital firm, GLMX utilizes cutting edge technology to bring unprecedented trading and liquidity management workflow efficiencies to the global securities financing markets.

Securities financing activities
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Main collateral types
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Type of firm
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ISF is part of the Global Investor Group and provides in-depth analysis of the latest news and events in the securities finance markets globally. Annual supplements provide insight into the latest developments in securities lending, repo, tri-party and synthetic finance.

The market-leading ISF Directory provides the most comprehensive database of executives involved in securities finance globally in print and online.

The Global Investor Group offers a wealth of news, analysis and data across the Asset Management, Securities Finance, Custody, Fund Services and Derivatives markets in print, online and in person at our global events. The Global Investor Group was created in 2017 bringing together three leading brands – ISF, FOW and Global Investor, to provide unparalleled reach across the buy- and sell-side.

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Financial Information Services

IHS Markit securities finance dataset covers more than $23 trillion of global securities in the lending programmes of more than 22,000 institutional funds. It includes more than eleven years of history with over three million intraday transactions. Our data is sourced directly from leading industry practitioners, including prime brokers, custodians, asset managers and hedge funds and is recognized as the independent source of such data in the marketplace.

Our securities finance offering provides insight into market sentiment and trading transparency from a macro to individual stock level. It also delivers Tri-Party Repo data and analytics to provide enhanced visibility and insight into the market for collateral cash investments, demand, pricing and usage. Collateral and funding managers of prime dealers, banks, money market funds, securities lenders, hedge funds, insurance companies and corporations can benefit from our comprehensive combination of repo and securities lending data and analytics

IHS Markit offers a fully hosted data and reporting solution for Securities Financing Transactions Regulation (SFTR) that sets an industry wide standard, providing the foundation needed to reconcile trading activity down to the Unique Trade Identifier (UTI) and Legal Entity Identifier (LEI) level of granularity. The SFTR solution will also offer participants turnkey connectivity to Trade Repositories.

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We manage complexity to make your trading simpler It's easy to connect with our award-winning MatchBox platform, enabling you to trade efficiently with the securities finance and equity derivatives market.

Designed by traders for traders, we know what it takes to run an efficient desk and what it means to access focussed liquidity. We've addressed the pain points so you can concentrate on striking the best deals with simplified price negotiation, full trade lifecycle management and confidence that your risk and regulatory needs are taken care of.

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RBC Investor & Treasury Services (RBC I&TS) is a specialist provider of asset services, custody, payments and treasury and market services for financial and other institutional investors worldwide, with over 4,500 employees in 17 countries across North America, Europe, Asia and Australia. We deliver services which safeguard client assets, underpinned by client-centric digital solutions which continue to be enhanced and evolved in line with our clients' changing needs. Trusted with CAD 4.2 trillion in client assets under administration(1), RBC I&TS is a financially strong partner with among the highest credit ratings globally(2).

Clients benefit from the long-standing experience and specialized expertise of our securities finance program:

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- Established risk management framework
- Zero losses for beneficial owners since inception
- Over 30 years of experience
- Top custodial lender globally(3)

(1) RBC quarterly results released August 21, 2019
(2) Standard & Poor's (AA-) and Moody's (Aa2) legacy senior long-term debt ratings of Royal Bank of Canada as of August 21, 2019
(3) Global Investor/ISF 2019 Beneficial Owners Survey, #1 custodial lender globally in unweighted category

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SOVA Capital Limited is an FCA authorized and regulated broker located in London with a strong equity capital base. We offer institutional and corporate clients a full range of investment brokerage services.

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As a leading global independent player with a strong connection to local markets, we work with our clients to help them expand in the most efficient way, to discover new opportunities and to achieve their goals over the long term. We strive to be a safe, innovative and caring partner at every point on a client's route to success, starting with the very first steps of the journey.

SOVA Capital offers its clients a wide range of securities financing and treasury products. Our clients can gain access to a number of geographies and choose from a variety of tenors and structures.

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BCS offers all clients easy market access through solutions tailored to meet their specific requirements. Providing exclusive investment banking services to professional investors, BCS UK is well positioned to partner with its clients and provide them with access to the complete range of BCS Financial Group services, including the latest technologies and bespoke trading solutions for both Russian and global markets

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With approximately 2,500 professionals in 30 locations around the world, including 16 offices in North America, BMO Capital Markets works proactively with clients to provide innovative and integrated financial solutions.

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SOVA Capital Limited is an FCA authorized and regulated broker located in London with a strong equity capital base. We offer institutional and corporate clients a full range of investment brokerage services.

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