



Trade Management

The challenge

Increasing investor and regulatory expectations are placing pressure on the middle office to adjust their processes and operating models accordingly. From price compression through to a digitized experience in providing flexible and transparent reporting, asset managers need to:

- Standardize processes
- Automate operating models
- Support ongoing regulatory and market changes, which includes reducing settlement timeframes and avoiding settlement failures
- Provide near real-time transparency to the transaction lifecycle, broker performance and settlement risk

The solution

A module within our middle office solution, trade management offers an end-to-end post execution trade management service. This will help you:



Transform operational performance by removing manual processing and moving to exception-based processing and management.



Grow your business through jurisdiction and asset class expansion supported by an established, global “follow the sun” operating model.



Mitigate risks of failed settlement and regulatory breaches.

Supporting you through every stage of the investment lifecycle



Trade Capture

- OMS agnostic integration
- Single entry point across asset classes



Trade Matching

- Exception management of broker matching utilising market utilities
- Proactive trade resolution from our specialist teams providing global coverage



Trade Enrichment & Instruction

- Centralizing static data for instruction enrichment and market-facing data using ALERT
- Custodian and 3rd party agnostic instruction model



Settlement Tracking

- Intra-day pre-settlement monitoring and proactive resolution to minimise failed settlement
- Consolidated failed trade reporting



Data

- Transparency to clients of trade data at each phase of the lifecycle
- Flexible oversight through our proprietary digital ecosystem, RBC One

RBC Investor Services' middle office solutions

Designed with flexibility in mind, our modular approach enables our asset manager clients to choose the functionalities they need in seeking to enhance their operating models.

Our Middle Office modules include:

- Collateral Management
- Trade Management
- Corporate Action Management
- Investment Book of Record¹

Our custodian agnostic solution delivers an end-to-end global platform for a seamless experience helping our asset manager clients to:

- **Mitigate** against future investment spend
- **Centralize** data and records
- **Reduce** operational risk
- **Improve** oversight through enhanced reporting capabilities
- **Concentrate** focus on asset gathering, investment performance and client servicing

About RBC Investor Services

RBC Investor Services delivers asset servicing solutions to Canadian asset managers and asset owners, investment counsellors and other financial institutions. Part of Royal Bank of Canada, Canada's largest bank and one of the top 10 banks globally,² our focus is on safeguarding the assets of our clients and supporting their growth.

Contact your local RBC Investor Services representative to learn more about how our middle office solution can help you.

¹) The IBOR platform is currently available only in Canada
²) Based on market capitalization as at April 30, 2023