

2Q21

# Pershing At a Glance

Many of the world's most sophisticated and successful financial services have chosen Pershing for more than 80 years, and continue to choose us today.

Additional information is available at [pershing.com](https://pershing.com).

## By the Numbers

AS OF JUNE 30, 2021

### BNY MELLON

**\$45.0 Trillion**

ASSETS UNDER CUSTODY  
AND/OR ADMINISTRATION

**\$2.3 Trillion**

ASSETS UNDER MANAGEMENT

### PERSHING

OVER

**\$2.0 Trillion**

GLOBAL CLIENT ASSETS<sup>1</sup>

OVER

**\$2.0 Billion**

NET CAPITAL<sup>2</sup>

At BNY Mellon's Pershing we *Consider Everything* as we help our clients transform their businesses, drive growth, maximize efficiency, and manage risk and regulation. Our clients—in both the wealth and institutional segments—gain the unique benefit of scale from working with one strategic partner as we deliver solutions from the whole firm.

Our clients rely on us for clearing and custody, trading and settlement services, a broad suite of investment solutions, middle and back office support, data insights, and business consulting. We bring together high-touch service, an open digital platform and the BNY Mellon enterprise to deliver a differentiated experience for every client, all from one strategic partner.

In an ever-changing marketplace, we have been trusted, tested and proven to protect our clients' interests while providing them with the most innovative solutions possible. Our clients are leaders in their fields and they choose Pershing because we are a leader in ours.

<sup>1</sup> Pershing LLC and its global affiliates

<sup>2</sup> Pershing LLC

## FAST FACTS

OVER

# 100,000

PROFESSIONALS USE OUR TECHNOLOGY PLATFORM FOR ADVISORS AND BROKER-DEALERS

WE SERVE APPROXIMATELY

# 1,200

CLIENTS IN 30 COUNTRIES

WE SERVE OVER

# 7 million

GLOBAL INVESTOR ACCOUNTS

WE PROVIDE CLEARING AND CUSTODY IN **65 MARKETS**, EXECUTION IN OVER **60 MARKETS GLOBALLY** AND FACILITATE THE TRADING AND CONVERSION OF **50 CURRENCIES**.

BNY MELLON WAS  
FOUNDED BY

# Alexander Hamilton

THE MEMBERS OF OUR HIGHLY KNOWLEDGEABLE AND SKILLED MANAGEMENT TEAM PROVIDE STABLE LEADERSHIP AVERAGING **MORE THAN A DECADE** WITH PERSHING.

PERSHING WAS FOUNDED BY  
THE SON OF WWI GENERAL

# John J. Pershing

IN 1939

# Industry Awards and Recognition

## DALBAR

For the third consecutive year, Pershing achieved the #1 ranking for brokerage statements in DALBAR's annual Trends & Best Practices in Investor Statements, achieving the highest score ever received by a firm. This is the fifteenth consecutive year that our brokerage account statement has received the "Excellent" rating from DALBAR, an independent firm that identifies best-in-class communications that assist clients in understanding and managing investments (2021).

## FINANCIAL TECHNOLOGIES FORUM

FTF awarded Pershing top honors at its Technology Innovation Awards. These awards celebrate and recognize the professionals, financial technology vendors, service providers, industry bodies and regulators that have made significant strides and noteworthy achievements in operational excellence. Pershing won for Best Clearing and Settlement Solution for our Artificial Intelligence for Operations Project (2021).

## INVESTMENTNEWS

Pershing was named #1 U.S. clearing firm, ranked by number of broker-dealer customers (*InvestmentNews*, 2008-2020).

## DALBAR

Pershing ranked #1 in the DALBAR State of the Industry eDelivery Onboarding Brokerage Experiences Study and was recognized for the case study Strategies for Success with Electronic Delivery as a best practice guide for advisors to access to a suite of resources (2020).

## BANK INSURANCE AND SECURITIES ASSOCIATION

Our Subscribe annuities platform and NetXInvestor® enhancements earned Pershing the Bank Insurance & Securities Association (BISA) Technology Innovation Award (2020).

## ALT CREDIT INTELLIGENCE

For the third year in a row, Prime Services was honored by *Alt Credit Intelligence* at their annual U.S. Awards. Pershing brought home the award for Best Custodian/Prime Services (2020).

## HEDGEWEEK

*Hedgeweek* U.S. Award named Pershing Best Managed Accounts Technology Provider Winner (2020).

## GLOBAL CUSTODIAN

*Global Custodian* awarded Pershing the Prime Brokerage-Client Service award for the second year in a row (2020).

## WEALTHMANAGEMENT.COM

Wealthmanagement.com named Pershing category winner for Technology Providers Innovation Platform Award for Corporate Social Responsibility/Diversity (2019).

## INVESTMENTNEWS

Pershing's Business Metrics and Assessment Tool was recognized by *InvestmentNews* at its Innovation Award ceremony. Our interactive benchmarking tool was selected based on its ability to help advisory firms better understand their business fundamentals, reduce business risk, and drive change and profitable business growth (2019).

## CUSTOMER SERVICE INSTITUTE OF AMERICA

Pershing was named Customer Service Institute of America (CSIA) Platinum Provider. The CSIA measures and certifies organizations against the International Customer Service Standard. Pershing first achieved CSIA Platinum Provider in 2015 and is now re-certified as a CSIA Platinum Provider for the next three years (2018).

## WATERS SELL-SIDE TECHNOLOGY

Waters Sell-Side Technology recognized Pershing as the best sell-side, web-based development environment category for NetX360®, the firm's technology platform for broker-dealers, wealth managers and advisors (2018).

## BANK INSURANCE AND SECURITIES ASSOCIATION

The Bank Insurance and Securities Association (BISA) Technology Innovation Award went to Albridge for the re-launch of Albridge Wealth Reporting, a comprehensive application that allows advisors to collaborate with clients by sharing metrics—charts, graphs, portfolio snapshots—that illustrate progress towards their financial goals. This is the third year in a row that Albridge was recognized for its leadership in the advancement of innovative technology products, services and platforms for the financial services industry (2018).

# Strengthen Your Success With Our Solutions

Let us help you plan for the impact of changing markets and regulations.

Maximize new wealth management and investment strategies to improve profitability and drive business growth.

Leverage emerging technology and big data to create efficient processes and capability, and drive decisions.

Leverage the strength and scale of BNY Mellon for financing, collateral management and global trade execution.

## Perspectives

Our practice management solutions include thought leadership, advisor programs, consulting, events and more.

For our latest commentary and actionable insights on industry trends and topics of interest, visit the Perspectives section on [pershing.com](https://www.pershing.com). Recent highlights include:

### Future-Proof Your Human Capital Strategy

It's vital to build a high performing team that motivates employees, increases employee retention and develops talent for succession planning. Next gen talent is attracted to a culture of DE&I which has a direct correlation to higher performance and will drive meaningful connections with your clients, colleagues and community. Pershing has compiled a suite of content that can guide our clients to create and maintain a successful human capital strategy to attract and develop diversified talent, fill key leadership roles as they grow, and build succession plans to ensure their future.

### Design Time: How to Cost-Effectively Create Unique Client Experiences with Digital Wealth Reporting Tools

It is often said that customization is key—personalization is paramount. Reporting in wealth management is often the most neglected part of the advisor's suite of services. Firms routinely consider online reporting and client portals as a digital version of the standard paper-based documents. Advisors who concentrate on the overall client experience rather than price or products, enjoy a significant competitive advantage.

### Five Lessons Hedge Funds Have Learned From the Pandemic

A lot has changed in the hedge fund industry since the onset of the COVID-19 global pandemic a year ago, especially

when it comes to raising capital. Explore the top five lessons and how these new best practices can help managers find success in today's environment.

### Driving Growth Through Multigenerational Relationships

This Pershing program combines expert-driven webinars, action-planning tools and best-practice insights to help financial professionals activate a strategy to build bonds with their clients' family members. With wealth transitioning every day, it's imperative to connect with the next generation and focus on the ongoing dynamics of all members of a client's family.

### Cybersecurity in an Increasingly Complex World

The perpetrators of cybercrime are not only keeping pace with advancements in technology, but they are also often on the leading edge—and the stakes are high if you don't take appropriate steps to protect your systems.

### Navigating Risk in 2021

What should we expect in 2021? The only thing we know for certain is how much we don't know. That's why it's vital to be prepared for the many risks facing your firm. Use this risk mitigation guide from Pershing to protect your clients and practice in an evolving regulatory landscape.

### Four Pressures Driving Introducing Broker-Dealers to Pursue New Advisory Strategies

The number of hybrid registered investment advisors—those who operate independently but are affiliated with broker-dealers—continues to soar. Make it easy for advisors to stay at your firm with a solution that addresses fiduciary pressures, satisfies advisors and impacts your bottom line. Broker-dealer leaders must explore the features of several business models to determine which would deliver the greatest benefit to their firms.

### Zoom In Podcast Series

Client interviews bring a unique perspectives on industry trends and hot topics. Our new podcast series explores themes of client experience, wealth and advisory, and insights.

### The Rise in 'Rage Giving' with Purpose

After months of pandemic lockdown, economic uncertainty and civil unrest, now might not seem to be the ideal time for advisors to discuss charitable giving with their clients. But it turns out that philanthropy by high-net-worth (HNW) and ultra-high-net-worth individuals is on the rise as people become more passionate about helping to solve the world's problems.

## ABOUT PERSHING

Pershing is a leading provider of clearing and custody services. We are uniquely positioned to help complex financial services firms transform their businesses, drive growth, maximize efficiency, and manage risk and regulation. Wealth management and institutional firms outsource to us for trading and settlement services, investment solutions, bank and brokerage custody, middle and back office support, data insights, and business consulting. Pershing brings together high-touch service, an open digital platform and the BNY Mellon enterprise to deliver a differentiated experience for every client. Pershing LLC (member FINRA, NYSE, SIPC) is a BNY Mellon company. Pershing and its worldwide affiliates have over \$2 trillion in global assets and millions of investor accounts. Pershing affiliates include Albridge Solutions, Inc. and Lockwood Advisors, Inc., an investment adviser registered in the United States under the Investment Advisers Act of 1940. Additional information is available on [pershing.com](https://pershing.com), or follow us on LinkedIn or Twitter @Pershing.

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