

2024 *BNY Pershing* *At a Glance*

► **BNY** | PERSHING

By the Numbers

JUNE 30, 2024

BNY

\$49.5T

*assets under custody
and/or administration*

BNY PERSHING

\$2T

*assets under
management*

\$2.5T+

in global client assets¹

\$2.0B

net capital²

Many of the world's most sophisticated and successful financial services firms have chosen BNY Pershing for 85 years, and continue to choose us today.

Additional information is available at pershing.com.

At BNY 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 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 innovative solutions. Our clients are leaders in their fields and they choose BNY Pershing because we are a leader in ours.

¹ Pershing LLC and its global affiliates

² Pershing LLC

Fast Facts

OVER

100,000

Professionals use our technology platform for advisors and broker-dealers

WE SERVE APPROXIMATELY

1,100

Clients in 30 countries

WE SERVE OVER

8M

Global investor accounts

We provide clearing and custody in **64 markets**, execution in over **60 markets globally** and facilitate the trading and conversion of **48 currencies**.

BNY WAS FOUNDED BY

ALEXANDER HAMILTON

The members of our highly knowledgeable and skilled management team provide stable leadership averaging **more than a decade** with BNY Pershing.

BNY PERSHING WAS FOUNDED BY THE SON OF WWI GENERAL

JOHN J. PERSHING

In 1939

Industry Awards and Recognition

LAROCHE

BNY Pershing was again named the #1 U.S. clearing firm, based on the number of broker-dealer clients, by LaRoche Research Partners LLC (2023).

HFM

BNY Pershing was named “Best Prime Broker” at the HFM US Services Awards (2023).

DALBAR

For the fifth consecutive year, BNY Pershing achieved the #1 ranking for brokerage statements in DALBAR’s annual Trends & Best Practices in Investor Statements, achieving an all-time high time score. This is the sixteenth 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 (2023).

PRIVATE ASSET MANAGEMENT

BNY Pershing won DE&I Initiative of the Year from Private Asset Management (PAM) for its Minority Business Enterprise Advisory Client Council program. PAM recognizes industry leaders and innovators (2023).

WEALTHMANAGEMENT.COM

BNY Pershing was recognized in the Diversity, Equity and Inclusion Category for its Minority Business Enterprise Client Council (2022).

SCHRODERS UK

BNY Pershing Limited was named Best Strategic Platform Partner for the third consecutive year (2022).

CUSTOMER SERVICE INSTITUTE OF AMERICA

BNY Pershing was named Customer Service Institute of America (CSIA) Platinum Provider. The CSIA measures and certifies organizations against the International Customer Service Standard. BNY Pershing first achieved Platinum Provider status in 2015, again in 2018, and is now re-certified as a CSIA Platinum Provider for the next three years (2021).

ALT CREDIT INTELLIGENCE

For the fifth consecutive time, BNY Pershing has been recognized by *Alt Credit Intelligence* as Best Prime Brokerage/Custodian Services (2021).

GLOBAL CUSTODIAN

Global Custodian awarded BNY Pershing the Best Provider—Small Cap Clients award (2023).

THINKADVISOR

BNY Pershing was recognized with ThinkAdvisor’s Luminaries Award for both Diversity and Inclusion thought leadership and advanced technology for biometric technology and AI operations. These awards shine a spotlight on the firms changing the investment advisory interest most, through creative, bold steps that move the industry and clients’ best interests forward (2021).

FINANCIAL TECHNOLOGIES FORUM

FTF awarded BNY 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. BNY Pershing won for Best Clearing and Settlement Solution for our Artificial Intelligence for Operations Project (2021).

INVESTMENTNEWS

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

DALBAR

BNY 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 BNY Pershing the Bank Insurance & Securities Association (BISA) Technology Innovation Award (2020).

HEDGEWEEK

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

WEALTHMANAGEMENT.COM

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

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 for financing, collateral management and global trade execution.

Insights

For our latest commentary and actionable insights on industry trends and topics of interest, visit the Insights section on pershing.com. Recent highlights include:

WOVE'S NEXT LEVEL

At INSITE, BNY Pershing X's President Ainslie Simmonds unveiled a new era for Wove: three new products and a suite of enhancements that further establish Wove as the most connected and productive wealth management platform.

THE FUTURE OF FINANCIAL ADVICE: PERSPECTIVES ON THE EVOLUTION OF WEALTH MANAGEMENT

BNY Pershing's Head of Wealth Solutions Ben Harrison hosted four industry luminaries on the main stage at INSITE to discuss the current state of wealth management, as well as imminent changes and predictions for what comes next.

USING THE CLOUD TO YOUR ADVANTAGE

BNY Pershing's technology leaders discuss cloud computing's impact on our industry and offer advice to firms making the jump.

INTEROPERABLE MOMENTS: HOW REDEFINING YOUR TECHNOLOGY STANDARDS CAN IMPROVE YOUR BUSINESS

Advisors' tech stacks seem to grow taller every year. But does adding more tools really make life easier?

NEXT-LEVEL INSIGHTS FROM THE NATION'S TOP ADVISORS

For nearly every advisory firm, growth and scale are top priorities. But where does private equity fit in? And how are firms preparing for the next generation? At the 2024 Elite Advisor Summit, we polled over 100 of the industry's top advisors to get their thoughts on these important topics.

THE DEMOCRATIZATION OF ALTERNATIVE INVESTMENTS

Momentum for alternative and private market investments is building among the advisory community. In our recent podcast with InvestmentNews, we take an in-depth look at the future of alternative investments, highlighting topics such as the factors impacting widespread adoption among advisors, ways managers are addressing some of these challenges, and how data and technology are enhancing the investment experience.

ABOUT BNY PERSHING

BNY Pershing (member FINRA, NYSE, SIPC) is a leading provider of clearing and custody, trading and settlement, advisory and investment solutions, data insights, business consulting and other services to wealth management and institutional firms looking to grow their businesses. For more information, go to: www.pershing.com.

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