



The post-trade landscape: Broker-Dealer value proposition

Info sheet

Truly global,
seamless operations
for broker-dealers.

Pull-outs



Connect to your post-trade network with ease.



Find expert solutions to manage risk, data and liquidity.



Develop your business for the future, alongside your community.

Context

As a broker-dealer, you need a reliable, single channel to the complex network of counterparties you engage with. We know that security and functionality are key to helping your business perform efficiently.

How SWIFT can help

SWIFT is the single channel connecting you to the post-trade industry. We provide the solutions for a seamless exchange of financial information with all your global and regional counterparties, customers, service providers and vendors in full multi-format, including messages, files, APIs, ISO 15022, ISO 20022 and secure web access.

Whether you need seamless communication with your complex network of counterparties, trusted compliance management or support in evolving your business, SWIFT has the solution for our **broker-dealer** customers.

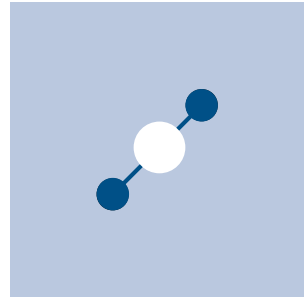
Automate

One single channel

SWIFT connects over 11,000 global financial institutions in more than 220 countries, through its resilient, standardised and highly secure network.

By connecting to SWIFT, you gain a reliable channel through which you can exchange financial information with buy-side firms, custodians, market infrastructures (e.g. Depositories ((I)CSDs), clearing houses (CCPs) and CLS) and other counterparties using standardised communications.

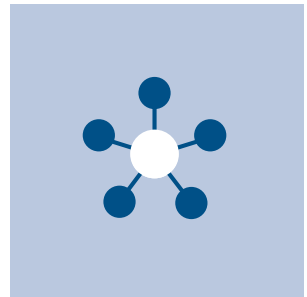
Through a program of responsible innovation, solutions such as our API gateway will help you to reduce your implementation costs, standardise modelling and specifications, and will provide enhanced interoperability between providers and channels.



A multi-asset platform

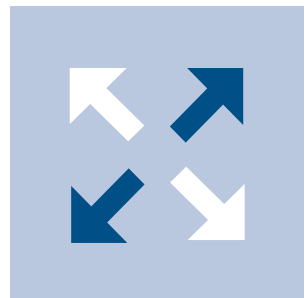
The SWIFT network provides functionality that is critical to business operations across a variety of flows, not only for securities and FX operations but also for payments, treasury, account payables, account receivables and commodities.

SWIFT is a truly multi-asset platform, offering a unified view across all of your business flows. As all your trading data will be formatted in a standardised way and flow seamlessly into your post-trade systems, you can see your cash and trading positions at a glance, in one place.



Any business size

For our larger customers, we know that high levels of trading activity and huge post-trade volumes mean that you need a connection that can connect you to multiple counterparties, with automation embedded throughout to reduce your costs and risk. We also know that our smaller customers often have limited resources doing multiple roles, meaning that you need solutions that are easy to implement and simple to run. No matter whether you are the youngest start-up or a global institution, SWIFT makes it easy for you to access the financial community in a way that is tailored to your needs, scale and resources. We offer a range of options to connect to our network and integrate into your own systems, and can work with you to find the best fit for your business.



Control

Simple risk and compliance management

Every post-trade organisation has a duty to tackle financial crime and, whilst stringent industry regulations play a vital role, compliance can create a heavy administrative burden. SWIFT has developed sanctions and screening tools that help you fulfil the regulatory requirements on sensitive payments and securities information.

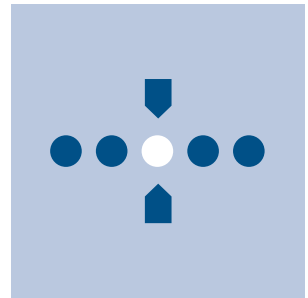
Our solutions will reduce the costs and risk associated with non-compliance, both through reputational damage and fraudulent transactions. This is achieved through a secure web-based platform that will identify sanctions and fraud risks in your environment so that you can protect yourself and your counterparties.



Total visibility on liquidity

As a broker, you need to know precisely where your funds are at all times. Using SWIFT gpi and SWIFT Scope, you can do just that. Our solutions let you find out in real-time where your incoming and outgoing payments are, enabling you to better monitor your liquidity.

This transparency means that you can meet settlement obligations on time, minimize the need to extend credit lines, successfully manage your collateral, access overdrafts and pre-funding, and respond effectively to queries from clients and counterparties.



Rich data

SWIFT Business Intelligence offers valuable insights across the board, whether you are looking to identify important market trends or specific benchmarking for your business. We can help you to harness data for powerful analysis of global securities activity, offering comparisons based on the parameters that you have identified as most important to your operations.

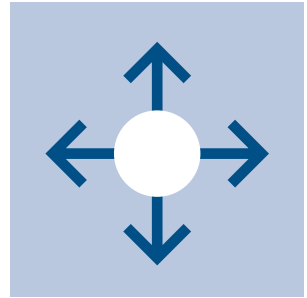
Our FX Performance Insights enables our broker clients to continuously measure their business performance and inform more strategic decision-making. Instead of surveys, we use anonymised data from real transactions over our network meaning we can provide the most accurate and valuable insights. And we have plenty of data to draw upon; every day, more than one million FX confirmations are sent over SWIFT, totaling \$2.6 trillion in trades.



Evolve

A platform for all your transactions

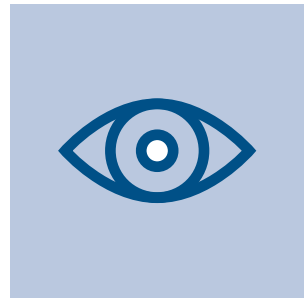
We are working with our community to enhance our platform for all of our customers. We are moving away from point-to-point messaging, to truly end-to-end, seamless transaction management. For brokers, this will mean better interactions with your cash correspondents and agents, with reduced friction, faster transactions and fewer settlement failures. Building on our foundations of rich data and security, we will continue to develop additional services to bolster the value that our platform already delivers, and work with trusted third parties to provide the one-stop platform your business needs.



Securities monitoring

We know that you need real time, end-to-end visibility of instructions to manage your securities settlement effectively. Our new securities monitoring service provides just that, enabling you to comply with regulatory requirements while reducing settlement fails and the costs of penalties and buy-ins. The benefits of the service go further; the provision of data in real-time means you will also be able to anticipate exceptions and resolve them more quickly, as well as simplify any investigations.

Through good quality reference data, increased transparency along the processing chain and dynamic intraday reporting we'll help you reduce fails, decrease costs, and gain actionable insights.



Formats to suit you

Our new platform is being built with our community at the centre, ensuring that every customer can use it in a way that works for them. Whether you want to use messages (MT, MX or ISO), APIs or web access and no matter what format your counterparties use, our platform will provide backward compatibility with your existing infrastructure.

The platform will maintain full transaction data at the centre, mediating between users of different protocols and formats, to ensure that no data is lost, corrupted or over-written in the process. The building blocks of our platform are founded upon strong rules and standards, as well as core principles of collaboration and security.



SWIFT is a member-owned cooperative, providing secure financial messaging services to more than 11,000 organisations, across the financial ecosystem, in almost every country in the world. For nearly five decades we have delivered certainty, continuity and excellence by constantly evolving in an everchanging landscape. In today's fast moving, increasingly connected and challenging world, this approach has never been more relevant.

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