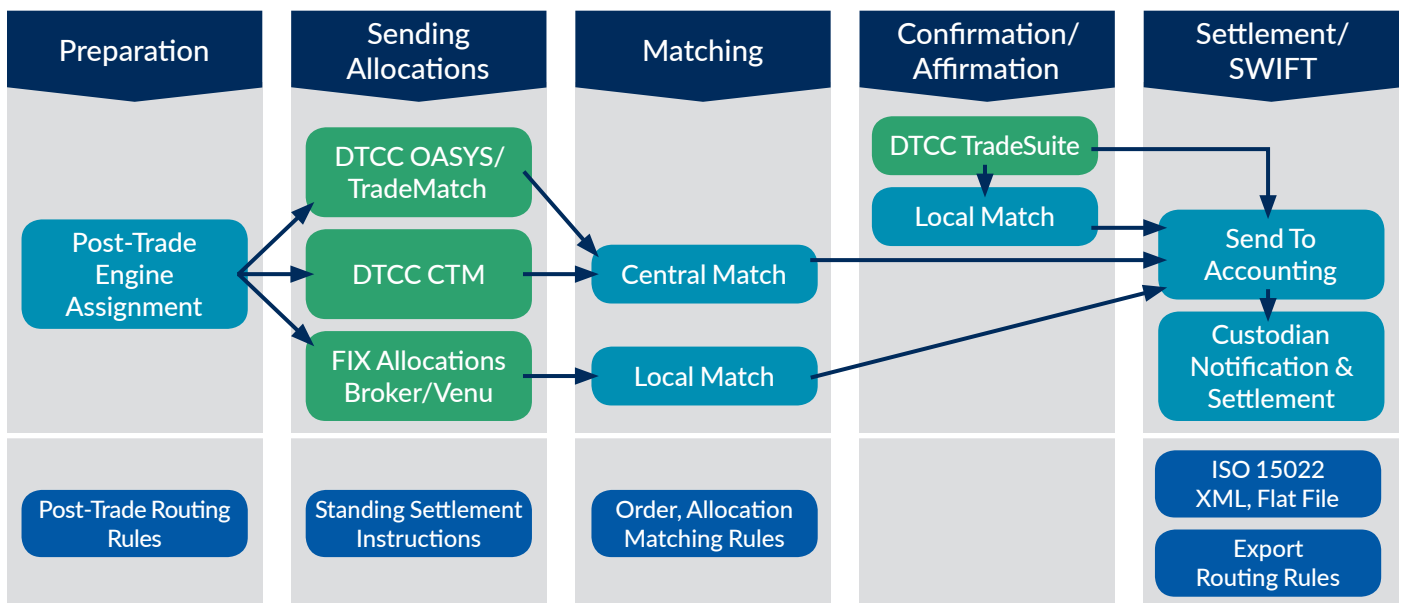


Post-Trade Processing and Settlement

Reduce Clearing and Settlement Risk

Charles River Investment Management Solution (IMS) helps firms reduce clearing-related risk by automating the post-trade process and providing centralized confirmation, trade matching and settlement instruction workflows. Dealers and traders, portfolio managers, compliance, and operations personnel have the same real-time view of all post-trade processing activity and data for each transaction. The resulting low-touch settlement process minimizes manual steps and reduces operational bottlenecks.

Post-trade and settlement capabilities in Charles River IMS include end-to-end confirmation, reconciliation, and settlement workflows. Bidirectional message support and connectivity with SWIFT networks expedite routing of individual trades and allocations to help ensure same-day matching and confirmation.



Key Capabilities and Benefits

Reduce Failed Trades: Automated matching and confirmation of blocks and allocations help eliminate error prone manual workflows

Automate Trade Confirmation Across Multiple Asset Classes: Charles River IMS integrates DTCC Central Trade Manager (DTCC CTM) for central matching of cross-border and domestic transactions

Improve Efficiency with Local Trade Matching: Standing settlement instructions and configurable, rule-based tolerance matching enable match/affirm with any local destination

Manage “By Exception”: Personalized views and alerts save time and speed up corrective intervention

Satisfy Regulatory Mandates: OTC clearing workflows and audit trails help ensure adherence to the latest regulations

Consolidate Post-Execution Operations: Centralization of all reference data and settlement instructions aims to reduce cost and complexity



A State Street Company

ABOUT CHARLES RIVER

Charles River Development, a State Street Company, enables sound and efficient investing across all asset classes. Investment firms in more than 40 countries use Charles River IMS to manage more than US\$25 Trillion in assets in the institutional investment, wealth management and hedge fund industries. Our Software as a Service-based solution (SaaS) is designed to automate and simplify investment management on a single platform – from portfolio management and risk analytics through trading and post-trade settlement, with integrated compliance and managed data throughout. Headquartered in Burlington, Massachusetts, we support clients globally with more than 750 employees in 11 regional offices.

Charles River Development - A State Street Company is wholly owned business of State Street Corporation (incorporated in Massachusetts).

This document and information herein (together, the "Content") is subject to change without notice based on market and other conditions and may not reflect the views of State Street Corporation and its subsidiaries and affiliates ("State Street"). The Content is provided only for general informational, illustrative, and/or marketing purposes, or in connection with exploratory conversations; it does not take into account any client or prospects particular investment or other financial objectives or strategies, nor any client's legal, regulatory, tax or accounting status, nor does it purport to be comprehensive or intended to replace the exercise of a client or prospects own careful independent review regarding any corresponding investment or other financial decision. The Content does not constitute investment research or legal, regulatory, investment, tax or accounting advice and is not an offer or solicitation to buy or sell securities or any other product, nor is it intended to constitute any binding contractual arrangement or commitment by State Street of any kind. The Content provided was prepared and obtained from sources believed to be reliable at the time of preparation, however it is provided "as-is" and State Street makes no guarantee, representation, or warranty of any kind including, without limitation, as to its accuracy, suitability, timeliness, merchantability, fitness for a particular purpose, non-infringement of third-party rights, or otherwise. State Street disclaims all liability, whether arising in contract, tort or otherwise, for any claims, losses, liabilities, damages (including direct, indirect, special or consequential), expenses or costs arising from or connected with the Content. The Content is not intended for retail clients or for distribution to, and may not be relied upon by, any person or entity in any jurisdiction or country where such distribution or use would be contrary to applicable law or regulation. The Content provided may contain certain statements that could be deemed forward-looking statements; any such statements or forecasted information are not guarantees or reliable indicators for future performance and actual results or developments may differ materially from those depicted or projected. Past performance is no guarantee of future results. No permission is granted to reprint, sell, copy, distribute, or modify the Content in any form or by any means without the prior written consent of State Street.

The offer or sale of any of these products and services in your jurisdiction is subject to the receipt by State Street of such internal and external approvals as it deems necessary in its sole discretion. Please contact your sales representative for further information.

©2018 STATE STREET CORPORATION