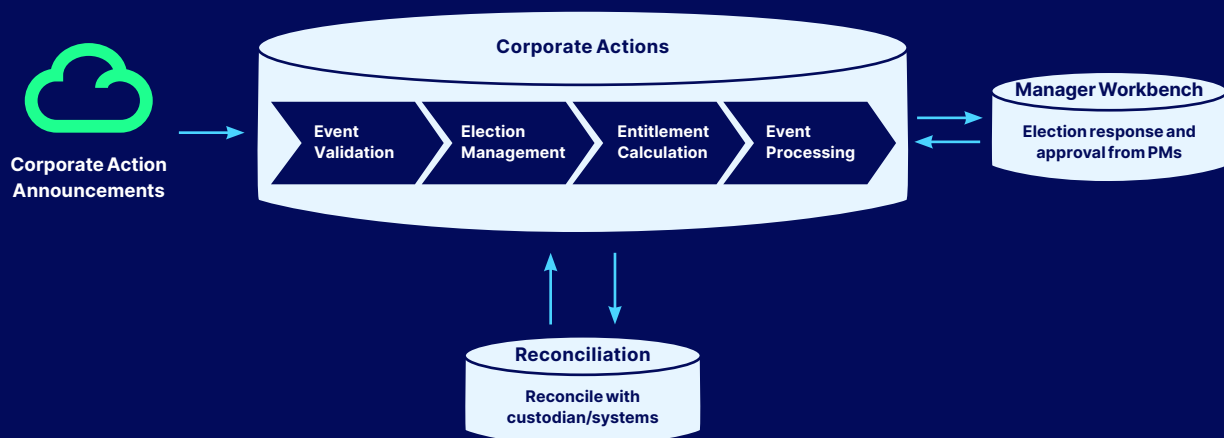


Charles River Corporate Actions

Corporate actions processing has historically consisted of fragmented and manual workflows. Growing complexity and volumes in the corporate actions space has created more urgency for automated processes and greater transparency for the front and middle offices. At a baseline, firms need accurate and timely processing to mitigate operational risk to help avoid the errors that can result in financial losses and damage to the firm's reputation.

Charles River offers a Corporate Actions solution to support managers and operations teams in this changing landscape. The fully automated, end-to-end workflow was designed to support high volumes and high risk events. Provided as part of our Investment Book of Record (IBOR) offering, Corporate Actions is an event-based solution.

Streamlined, Integrated Processing



Capabilities

Data Import & Validation

- MT564, 568-15022, 20022, Flat Files
- Gold copy support for State Street Alpha® clients
- Automated securities of interest (SOI) file generation
- Fully configurable imports: frequency of event delivery
- Automated validation to ensure data adequacy

Multi-Strategy Account (MSA) support

- Event processing at the MSA level
- Election management at the strategy level
- Election roll-up at the MSA level

Event Processing

- Start of day (SOD) position/tax lot updates
- Proceeds segregation until payment date
- Open orders/security master updates
- Dynamic and static model updates
- Withholding tax support for dividend & interest
- Position, tax lot and transaction recon support

Voluntary Events Elections

- Enter and approve election responses in Manager Workbench
- Send instructions to custody for State Street Alpha® clients
- Election Options:
 - Account/Group level
 - Model/Sleeve
 - Standing elections
 - Election imports
- Elected quantity segregation until processing date

Election Management

- Send reminders to portfolio managers for election response deadlines
 - Configurable at the event level
 - Configurable offset days from response deadline
- Four eyes verification on elections
 - Audit trails on elections and approvals
- Notifications on corporate action events in Manager Workbench
- Calendar view for upcoming corporate action events
- Generate election instructions in SWIFT MT565 format



Benefits

- Accurate and timely delivery
- Fully automated, end-to-end
- Integrated portfolio manager experience with voluntary event notifications and election management



Features

- Enhanced election management
 - » “four eyes” approval process
 - » “new event” notification sent to portfolio manager
 - » calendar view to display upcoming events
- SWIFT message expansion
- High risk, high volume events coverage

Charles River Development, A State Street Company

Investment and wealth managers, asset owners and insurers in over 30 countries rely on Charles River IMS to manage USD \$59 Trillion in assets. Together with State Street's middle and back office services, Charles River's cloud-based front office technology forms the foundation of State Street Alpha®.

Charles River IMS helps automate and simplify the investment process across asset classes, from portfolio management and risk analytics through trading and post-trade settlement, with integrated compliance and managed data throughout. Charles River for Private Markets helps solve complex data challenges for investors in private credit, real estate, private equity, and infrastructure. Charles River's partner ecosystem enables clients to access the data, analytics, application and liquidity providers that support their product and asset class mix.

With more than 135% increase in headcount over the last 5+ years, Charles River serves clients globally offering 24/7 support.

(Statistics as of Q1 2024. Assets are inclusive of clients using the platform for purposes of secondary compliance.)

Learn more at crd.com/CRIMS

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