RBC Clearing & Custody

We'll help you make a difference in your business

Clearing & Custody

Who we serve

300+ firms from coast-to-coast—and growing

We provide comprehensive clearing, custody and execution services to a variety of broker-dealers, including full-service wealth management firms, traditional retail brokerages, insurance companies, institutional-based firms and fintech businesses.

We also provide comprehensive custody and brokerage services to a variety of registered investment advisors, including "break-away brokers," start-ups, wealth management firms, money managers, institutional-based firms and dually registered firms.

"RBC Clearing & Custody offers much more than the other custodians in terms of technology and investment platform. Also, the support we receive—including the on-boarding assistance they provided—is nothing shy of extraordinary. It's a terrific relationship. We are happy and our clients are satisfied."

Lu Zhou
Founder and President
Vanquour, LLC

Expect more from your clearing and custody provider

Strength | Technology | Service | Solutions

RBC Clearing & Custody is a leading provider of clearing and custody services for successful financial services businesses like yours. Whether you serve clients as a broker-dealer or registered investment advisor, we can help support and enhance your back office operations, too.

But we go way beyond processing transactions, recordkeeping and holding your clients' financial assets. By offering a unique combination of strength, technology, service and solutions, we can help you run, grow and protect what you've worked so hard to build.

Indeed. More than providing day-to-day support, we'll help you make a difference in your business. Explore the many ways we may help you accomplish what you envision for your future.

"Our strategic relationship with RBC Clearing & Custody is critical to our business. We chose RBC Clearing & Custody because of their approach to open architecture, innovative technology and their commitment to top tier service that our financial professionals and clients demand. Issues and challenges do arise, but we've found that RBC Clearing & Custody is willing to dig in and solve the challenges with us and for that we very much appreciate their strong support."

Mark Garrett
Executive Chairman
Moors & Cabot Inc.

"I believe RBC Clearing & Custody is truly committed to helping grow my business. They honestly care about our success."

Robert Villaflor
CEO
Sprott Global Resource Investments Ltd., and President, Sprott Asset Management USA

Strength you can trust

Since 1979, we have provided dependable clearing and custody services to our clients, which means you can feel confident about working with us.

We are part of RBC Capital Markets, LLC, one of the largest full-service securities firms in the nation. Furthermore, our parent company, Royal Bank of Canada (NYSE: RY), is an international leader in diversified financial services, well known for consistently delivering the following business metrics.

- High credit ratings[1]
- High quality balance sheet
- Proactive risk management
- Strong liquidity position

Rather than being the biggest clearing and custody provider, we want to be the best and work with the best. Firms like yours. Our focus on excellence helps us attract and retain top securities industry professionals to serve you.

As part of the RBC family of companies, we share our parent company's reputation for integrity, responsibility and corporate citizenship. We are deeply committed to the clearing and custody business — as well as to your long-term success as a financial services provider.

[1]Moody's Aa1, Standard and Poor's AA-, Fitch AA, as of February 27, 2024.

Innovative technology that fits your unique business model

We offer modern technology solutions to help you be efficient and productive. But that's not all. Our next-generation technology comes with a human touch as well.

Because our experienced, Minneapolis-based technology specialists can help you have positive experiences at every step of your technology journey—from building or enhancing your tech stack to learning how to use it every day to understanding what it can tell you about your business.

Financial professional solutions

Serve clients effectively and manage your business efficiently with industry-leading solutions.

RBC Nexus

Get more done—quickly and easily—with an integrated portal that is your gateway to our technology. RBC Nexus centralizes client information, account information, service tools, knowledge resources and all the relevant information you need to serve your clients.

- Digital account opening
- Client and household management
- Trading and rebalancing
- Real-time account information
- AI-powered global search and client insights
- Advisory account management
- Service requests and tracking
- Centralized notifications
- Credit line management
- Performance reporting
- Markets and research

RBC BLACK

Boost productivity with an innovative client engagement platform that combines leading vendor technology solutions in one place, at one competitive price. Accessed from RBC Nexus, RBC BLACK further enhances our core technology offering with a premium integrated platform fully supported by RBC. This includes:

- Account aggregation
- Planning tools
- Risk alignment and reporting
- Client relationship management
- Wealth reporting
- Client portal and mobile

RBC Marketplace

Find additional solutions to round out your tech stack or customize your wealth management offering. RBC Marketplace features more than 100 of the latest technology solutions from RBC Clearing & Custody and industry-leading partner providers.

Institutional solutions

Many of the broker-dealer firms we serve use our expanded institutional clearing capabilities to accomplish their institutional brokerage goals. Our dedication to the institutional broker-dealer business model and on-going enhancements to our platform demonstrates our commitment to your success.

Trade matching

Increase efficiency by eliminating manual processing. Our Global Trade Match Allocation system interfaces with the Depository Trust & Clearing Corporation and standing instruction database (ALERT) and trade allocation database (CTM).

"When we first made the decision to go with RBC Clearing & Custody, we realized that the technology that RBC offered was definitely a fit for us. After we were there for a year, we looked back and think this was probably the best decision we ever made, not only for the firm, but also for our brokers and clients."

Nancy Mullally
CEO/CFO
Alamo Capital

Real-time trade settlement

Get up-to-the-minute trade settlement status for COD/COR cash on delivery/receipt activity. Our settlement status interface can help reduce financial, market and reputational risk as well as staff time spent communicating issues.

Smart order routing

Access robust execution quality, minimize information leakage and control trading costs. RBC Capital Markets' patented THOR technology interacts seamlessly with our streamlined algorithm suite as well as direct market access orders, cash desk and program trades.

Technology capabilities

Seamless integration to a growing list of leading third-party technology vendors.

End client solutions

Build and maintain strong client relationships with the digital wealth management capabilities investors want.

Modern client portal for current account information

Our client portal features an intuitive interface that helps make it quick and easy for clients to find what they're looking for. Complimentary branding with your logo and personalization with financial professional photos and contact information is also available.

Registration is straightforward and most information is available in real time. Self-guided tours are available to help clients learn about everything the portal enables them to do online. End clients can call our client support services team toll free for help with technical or functional questions.

Mobile app for convenience

Our mobile app is designed to provide your clients with the freedom, flexibility and secure on-the-go access to information and self-service features to enhance their experience. Available for iOS and Android.

Paperless delivery for simplicity, safety and sustainability

Investors registered for our client portal can elect to view statements and other documents online instead of receiving documents in the mail. Once documents are available, clients receive an email linking them directly to the client portal.

Self-service options

Firms served by RBC Clearing & Custody have the ability to offer end clients a broad range of cash management capabilities that may help simplify the way clients save and spend money—which may also help complement and expand your core business as an investment services and solutions provider.

Financial professional functionality

Through RBC Nexus, financial professionals can see the same client portal and tools that end clients access and use to help support real-time conversations with clients. Looking at clients' online behavior and interests may also help financial professionals build deeper relationships and discover unmet client needs.

Client privacy precautions

We are committed to providing you and your clients with a secure online experience. Protecting client information and safeguarding clients from fraud are among our highest priorities. In addition to our stringent privacy practices, we employ a diverse range of current technologies and security mechanisms to confirm the safety, confidentiality and integrity of client information and transactions.

Our technology team

From consulting and configuration to training and support, our Minneapolis-based technology team focuses on all aspects of the RBC Clearing & Custody technology experience. Sharing their insight and delivering the expertise of RBC and third-party technology, our team members work with you as well as behind the scenes to provide:

- Strategic consulting to help firms make well-informed decisions about technology
- Tactical implementation to help firms customize their tech stack and deploy technology effectively
- Training and support to help financial professionals adopt technology quickly and increase their productivity
- Data and analytics support to help firms comply with regulations and better understand their business
- U.S.-based phone support for financial professionals and end clients

"What I like about RBC Clearing & Custody is if I have something out of the ordinary, I have my client service rep I can call, and that's a big help."

Karin Mueller-Paris
CEO
Partner, Client Relations
F&V Capital Management, LLC

Attentive service

The services and solutions we deliver impact your business in a meaningful way. We recognize firms like yours deserve more than a "one-size-fits-all" approach to service. That's why we provide personalized support and training throughout your relationship with us.

Onboarding

When you begin your relationship with us, you are assigned a dedicated client service manager and an onboarding manager. Together, they spearhead a team of onboarding and training specialists who help you move client accounts and assets to our clearing and custody platform.

During onboarding, we provide one-on-one training on our processes, technology and suite of financial products. Helping you and your financial professionals feel confident using our platform is a top priority for us.

Ongoing training and support

Your client service manager learns about you, your business priorities and what makes your firm unique. They contact you regularly to meet your service expectations, ask about your changing needs and discuss capabilities for you to consider.

In addition, they work with our training specialists to help you learn about new technologies, products and services as they are added to our ever-growing platform. So you are always up-to-date and ready to take advantage of the latest solutions available.

When you need help right away

We offer attentive, responsive support when you contact us with specific questions. You always have a direct line to your client service manager as well as all operations and product departments.

For general support

Our business support team provides core technology support by answering "how-do-I" service-related questions on products and services, and offering training on applications and systems functionality.

For end-client support

Our client support service team can help answer non-investment-related questions—from you and your clients—pertaining to the client portal as well as client self-service cash management capabilities.

Strategic consulting

Our business is getting to know yours. Whether you operate as a broker-dealer or a registered investment advisor, we have an in-depth understanding of the different service models you have to choose from. We are industry leaders who can offer insights on:

- Technology solutions for your firm, financial professionals and clients
- Financial matters relevant to you and your clients
- Business challenges you may currently face
- How to achieve long-term results

Our consulting services have the potential to help firms benefit from appropriate technology offerings, create new revenue streams, establish competitive advantages, improve share of wallet and optimize the lifetime value of your clients.

"RBC Clearing & Custody provides a diverse base of solutions for our clients. They help us provide clients with wealth management and private banking services including complex investment vehicles. We can meet any of our client's needs."

Michael R. Sanders
Principal,
Chief Investment Officer
5C Capital Management, LLC

World-class solutions

Choose from industry-leading products that fit your business model—and expand the financial services you offer.

Managed account solutions

Select from a broad range of fee-based account structures and well-qualified money managers suited for your clients' goals and your advisory business. In addition, we have the technology and tools to effectively support your firm's proprietary managed business and drive efficiency.

Securities-based lending

Offer clients greater financial flexibility with a strategic source of portfolio liquidity for short-term goals without selling securities and interfering with long-term goals.

Cash management and sweep options

Offer your clients a broad range of convenient cash management tools as well as cash sweep options for uninvested cash.

Trust services

Develop deeper, longer-lasting relationships with your clients by offering them trust services to help preserve and transfer wealth.

Institutional services and equity trading

Support and grow your institutional business with technology, products and professionals to help you serve institutions with confidence.

We offer clearing and settlement for:

- Equities (U.S. and international)
- Fixed income (U.S. and international)
- Options (U.S.)

Investments

From stocks, bonds and mutual funds/exchange-traded funds to more sophisticated investments, our menu of securities can help enhance your portfolio-building opportunities.

Research

Gain access to RBC's timely, independent, fundamental research from more than 200 analysts globally that cover nearly 1,500 companies in most industry sectors. You also have online access to some of the industry's most respected third-party research and product organizations.

Marketing

Benefit from a broad range of RBC-provided marketing resources as well as complimentary access to Broadridge Advisor Solutions.

Trust services are provided by third parties. RBC Clearing & Custody does not provide tax or legal advice.

Your next step...

Let's discuss your priorities

Contact us today to learn more about how we can help you accomplish your specific business goals.

"It's been somewhat of a delight doing business with RBC Clearing & Custody. They've lived up to their promises. They've helped open doors to new opportunities for us. Their support is dependable. So I don't feel like I need to worry about anything they help us do. And that lets me focus more on other aspects of running my business."

Max Kamp
President/CEO
Continental Investors Services, Inc.

www.rbcclearingandcustody.com

Clearing & Custody

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