

3Q26 *BNY Pershing At A Glance*

➤ **BNY** | PERSHING

By the Numbers

September 30, 2026

BNY

BNY PERSHING

\$63.4T

*assets under custody
and/or administration*

\$2.2T

*assets under
management*

\$3.6T

*in global
client assets¹*

\$4.1B

net capital²

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

Additional information is available at bny.com/pershing.

At BNY Pershing, we live our Be Client Obsessed and Be More for our Clients principles every day. We take a 360-degree view to help you transform your business, spark growth, maximize efficiency and navigate the complexities of risk and regulation.

Whether you operate in the wealth or institutional segment, you unlock the power of scale by partnering with a single strategic provider delivering solutions across clearing and custody, trading and settlement, a broad suite of investment offerings, middle- and back-office support, data insights and business consulting.

By combining high-touch service with an open digital platform and the full strength of the BNY enterprise, we deliver a differentiated experience tailored to each client. In an ever-evolving marketplace, we've been trusted, tested and proven to protect your interests while powering you with innovative solutions. Leaders choose BNY Pershing because we lead in ours—so you can lead in yours.

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

1,000+

Clients in 30 countries

WE SERVE OVER

8.8M

Global investor accounts

We provide clearing and custody in **63 markets**, execution in over **60 markets globally** and facilitate the trading and conversion of **46 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 1938

Industry Awards and Recognition

HEDGEWEEK

BNY Pershing was awarded Prime Broker of the Year: Overall at the Hedgeweek US Awards (2025).

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 (2025).

DALBAR

For the seventh 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 score. This is the eighteenth 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 (2025).

GLOBAL CUSTODIAN

BNY Pershing was awarded Prime Broker of the Year: Mid-Sized Clients at the Global Custodians Industry Leader's Awards (2025).

GLOBAL CUSTODIAN

Global Custodian awarded BNY Pershing the Excellence in Prime Brokerage Operations award (2024).

GLOBAL FINANCE

Global Finance magazine named Wove one of the World's Best Innovations calling it a "ground-breaking wealth management platform." (2024)

CELENT

Wove has been recognized by Celent's Model Wealth Manager Awards in the "Streamlining Advisor Workflows" category. (2024)

HFM

BNY Pershing was named "Best Prime Broker - Capital Introduction" at the HFM US Services Awards (2024).

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.

Strengthen Your Success With Our Solutions

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

FUTURE-PROOFING YOUR FIRM: KEY LESSONS FROM FAST GROWING RIAs

In wealth management, sustainable growth hinges on preserving your firm's core values. Leading RIAs scale with integrity by fostering a cohesive culture, empowering every team member, leveraging adaptable technology, and developing future leaders. By letting strategic priorities—not ego—drive acquisitions versus organic growth, firms can expand responsibly, elevate client service, and build lasting foundations.

5 WAYS WEALTH ADVISORS CAN BEGIN TO ADOPT AI NOW

As AI transforms financial services, Carnegie Mellon University's Zico Kolter urges practitioners to adopt it now—experiment with its strengths and limits, build human-machine workflows, and earn trust through performance—so they can turn uncertainty into competitive advantage and prepare for the next innovation wave.

TOMORROW'S TECH TODAY: HOW CLIENT EXPECTATIONS ARE DRIVING INNOVATION

For billion-dollar RIAs and enterprise wealth managers, digital relevance means delivering the seamless, personalized experiences clients expect from ecommerce. Achieving that requires an integrated technology strategy – embedding digital touchpoints in advisor-led interactions, backed by robust data infrastructure, disciplined AI adoption, and seamless system integration. In a digital-first world, firms that master this will prevail.

THE CLIENT OF 2030: UNDERSTANDING THE EVOLVING INVESTOR MINDSET

Access to digital tools suggests that individuals are taking greater ownership of their financial decisions. They can now access the markets in ways that historically they could not. However, such tools may not meet their need for unbiased financial advice to build their confidence in making decisions. According to a recent study by The Guardian, only 30% of workers rated their financial health as “excellent” or “very good” compared to 38% in 2016. This suggests that the expansion of financial tools and trading access has not translated into greater investor confidence.

BUILD YOUR FIRM LIKE YOU'RE SELLING (EVEN IF YOU'RE NOT)

When RIA firms deliver great service, efficiency and profitability, they're likely to attract buyers. This is especially true in a historic year for deal-making in the wealth management industry, with 345 deals in 2025. But sharpening your firm's strategic and operational performance would boost its value no matter when (or if) you planned to sell.

CYBERSECURITY IN WEALTH MANAGEMENT: PEOPLE ARE STILL YOUR BEST LINE OF DEFENSE

In an age of billion-dollar data breaches and AI-generated deepfakes, it's easy for wealth management firms — especially smaller RIAs—to feel outmatched. But the most effective defense isn't necessarily the most advanced technology. It's people. And in today's evolving threat landscape, your people may be the single most important asset in your cybersecurity strategy.

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.bny.com/pershing.

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The use of the firm's platforms and technology may be affected by factors such as trading volume, market conditions, system performance and/or other factors. BNY Pershing actively monitors the technology environment and endeavors to resolve issues promptly through various means.

Investment Products: Not FDIC Insured / No Bank Guarantee / May Lose Value

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One Pershing Plaza, Jersey City, NJ 07399