

SUNGARD®



ACHIEVE
MORE

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OUR MISSION

WE HELP OUR CUSTOMERS CHANGE TO **SUCCEED IN THIS NEW LANDSCAPE** THROUGH SOLUTIONS AND SERVICES THAT HELP THEM TO:



DIVERSIFY TO GROW REVENUE



GAIN EFFICIENCIES TO MANAGE COSTS



LEVERAGE COMPLIANCE AND RISK TO CREATE A COMPETITIVE ADVANTAGE

WEALTH MANAGEMENT & RETIREMENT PLANNING

U.S. TAX PROCESSING

CREDIT MARKETS AND FINANCING

RISK, COMPLIANCE & REGULATORY PROCESSING

MANAGED SERVICES

CONSOLIDATED ENTERPRISE DATA

CORPORATE ACTIONS SOLUTIONS

POST-TRADE PROCESSING

END-TO-END CORPORATE ACTIONS AUTOMATION

Combines state-of-the-art technology with feature-rich functionality to help financial institutions of all types and sizes
MANAGE THE ENTIRE CORPORATE ACTIONS LIFECYCLE

- › Eliminate manual intervention and streamline corporate actions processing
- › Increase STP and improve service levels
- › Gain the agility needed to address growing, more complex corporate actions requirements
- › Minimize financial exposure
- › Maximize immediate return on investment
- › Enhance competitive advantage through secure operations

WEALTH MANAGEMENT & RETIREMENT PLANNING

U.S. TAX PROCESSING

CREDIT MARKETS AND FINANCING

RISK, COMPLIANCE & REGULATORY PROCESSING

MANAGED SERVICES

CONSOLIDATED ENTERPRISE DATA

CORPORATE ACTIONS SOLUTIONS

POST-TRADE PROCESSING

ROBUST MULTI-ASSET GLOBAL PROCESSING

Today, **ROUND THE CLOCK FINANCIAL ACTIVITY AND CROSS-BORDER TRADING** is increasingly common. Financial services firms also require systems that work across borders for maximum efficiency

- › Securities processing
- › Customer, inventory & position management
- › Static data management including security master and settlement instructions

INDUSTRY CHALLENGES

Functions That Investment Managers Deem to Pose the Most Risk to Operations by Priority (2010)

Survey Question: Please indicate which of the following functions introduce the highest level of operation risk of your firms – Please select the top 3:

(Percentage of Respondents)



Source: TowerGroup Survey: Assessing Operational Risk in the Securities and Investments Industry, 2010

INDUSTRY CHALLENGES

RISK AND RESULT

RISK	CORPORATE ACTION	WHO IS IMPACTED
Direct risk of processing failures	Mandatory with options; voluntary.	Anybody in the corporate action chain (e.g., custodian, fund manager or broker), with liability depending on which market participant causes the failure.
Direct cost of late payments	Mainly mandatory (mostly dividend and interest payments).	Investors (interest forgone).
Risk of sub-optimal trading decisions	All	Brokers or fund managers involved in trade (if proprietary) or investors (if cost passed on).
Indirect cost of ineffective corporate governance	Voluntary (mainly proxy voting).	Issuers (in the long run), investors, the system at large.

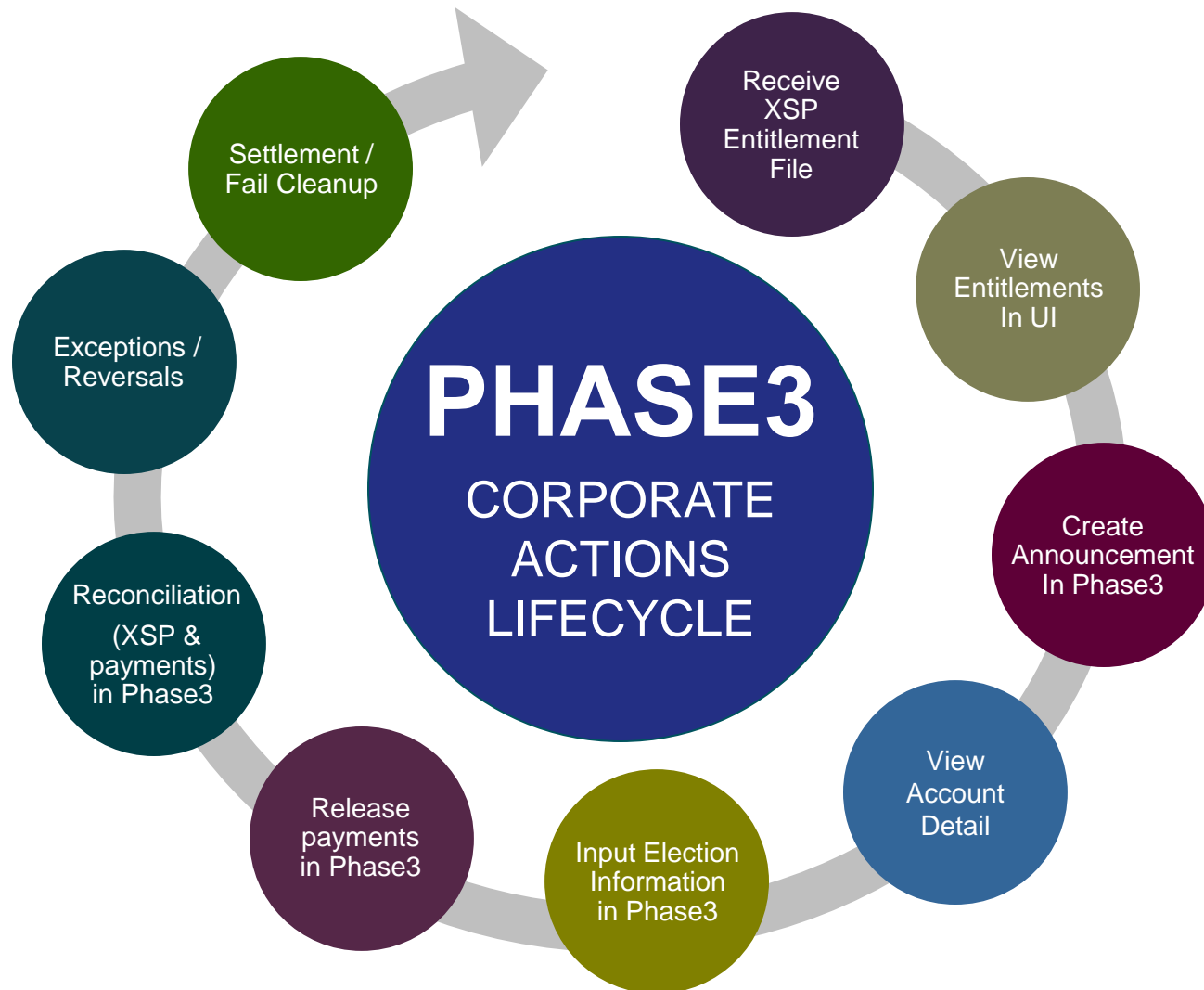
Source: "Corporate Action Processing: What Are the Risks?" Oxera, 2004

XSP OVERVIEW

XSP automates the entire corporate actions process flow from the receipt of data from industry vendors, custodians, exchanges and depositories to the automated downstream notification and response capture and processing – thereby eliminating many of the risks.



Stream Phase3 receives and processes XSP calculated entitlement file, posts corporate action results to customer accounts, provides reconciliation and reversal processing.



SUNGARD[®] A TRUSTED PARTNER

THANK YOU!

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STRONG
SALES &
SUPPORT
PERSONNEL



DOMAIN
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RECORD OF
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