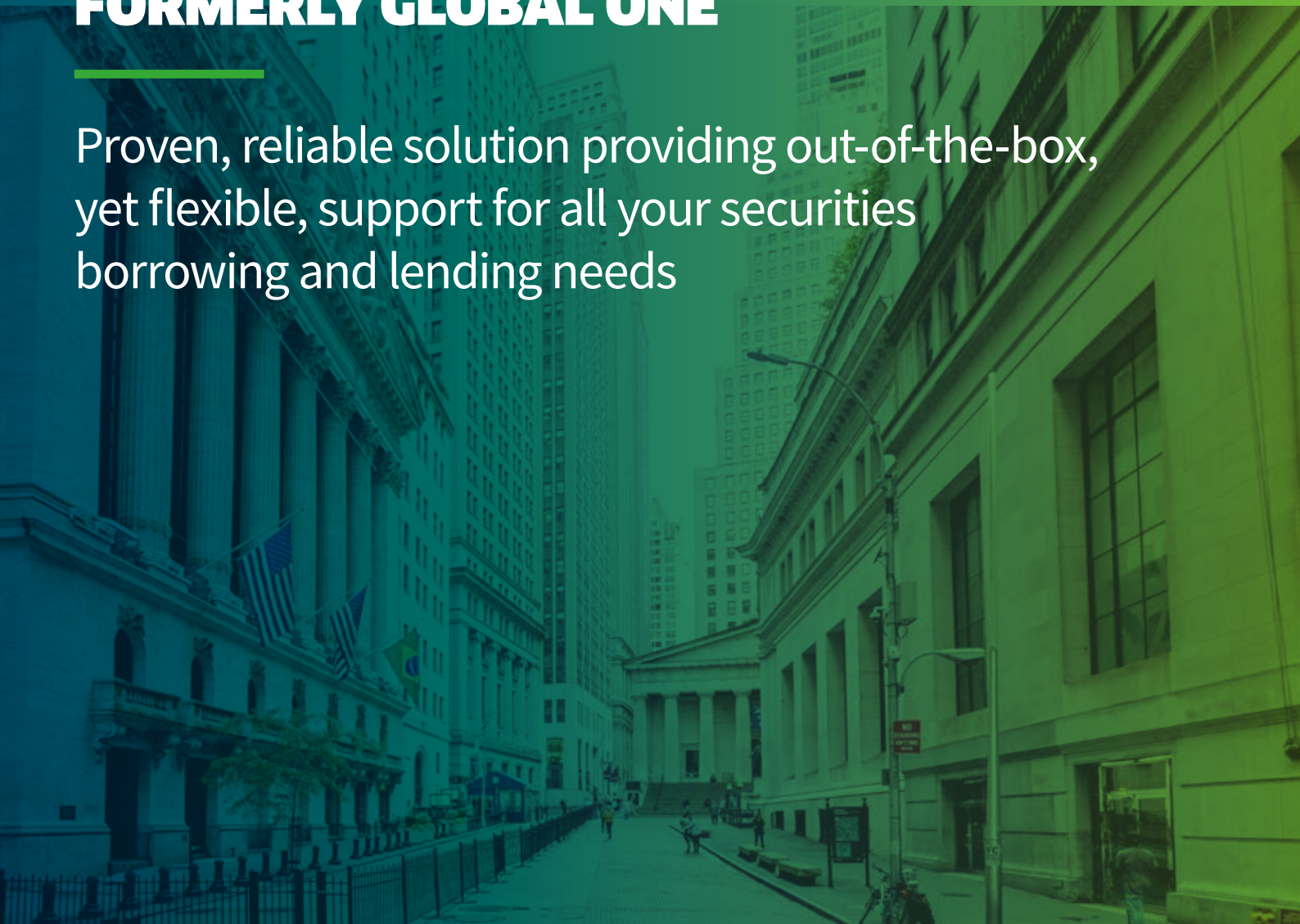




FIS SECURITIES FINANCE PROCESSOR FORMERLY GLOBAL ONE

Proven, reliable solution providing out-of-the-box, yet flexible, support for all your securities borrowing and lending needs



FIS Securities Finance Processor (formerly Global One) has a proven track record for managing the global securities borrowing and lending life cycle for a large range of firms, from Tier 1 global players to smaller local organizations.

FIS® Securities Finance Processor (formerly Global One) services principal borrowing and lending, agency lending for custody, direct or third-party lenders, and provides support for fully paid lending.

Securities Finance Processor offers maximum flexibility and control over running costs through a choice of deployment options, including client installed or FIS managed. FIS can provide services to assist you with implementation/system management, or we can take over responsibility for the management of Securities Finance Processor on your technology infrastructure, either onsite or remotely.

Alternatively, we can provide a one-stop shop to fully manage your Securities Finance Processor environment through our hosting and managed service offering. These options allow you to focus on your business and leave the Securities Finance Processor system's support and management to our many years of expertise

What can Securities Finance Processor do for you?

- Provide rapid return on investment through quick and easy implementation and configuration
- Enhance efficiency through streamlined and effective handling of the entire securities lending transaction lifecycle
- Provide a proven and reliable solution allowing you to focus on business growth
- Accelerate productivity due to familiarity in the market
- Provide a scalable solution for current and future business requirements



A modular, integrated solution

Securities Finance Processor supports equity and fixed income across a broad range of different market participant types through its comprehensive suite of modular solutions.

- Securities lending for principal, agency and fully paid lending
- Repo trading
- Dividend processing and control
- Automated corporate actions processing
- Regulatory compliance for SFTR; providing data enrichment, UTI and LEI management with optional reporting in ISO 20022 format
- Support for multiple specific securities finance market requirements, such as Hong Kong, South Africa and Brazil
- Automated intra/intercompany trade processing
- Cash management for agency lending cash collateral processing
- A suite of standard interfaces, such as SWIFT, CREST, STRATE, FIS® Securities Lending Processing Platform (formerly Loanet Accounting and Settlement), Autoborrow and FIS® Securities Finance Market Data
- Standard integration tools supporting message and file-based imports and extracts, APIs and web service calls

Trade support

Securities Finance Processor provides comprehensive support for the booking of securities lending and repo transactions:

- Trade entry, including individual, basket and automated upload, with extensive data enrichment and validation
- Option for real-time, bi-directional integration with industry standard order routing solutions providing maximum straight-through processing, with minimum development effort
- Option to auto-create inter/intra company trades to streamline processing
- Flexible cash, cash pool and non-cash collateral management processing with comprehensive eligibility and limits checking
- Multiple controls and validations including counterparty credit breaches, settlement warnings, issuer acceptability, complex agency risk lending restrictions, minimum/maximum lot rules and minimum price applications
- Multiple controls over securities, such as "specials" handling, restriction of securities and tradable markets
- Support for exclusive availability and locates enquiries
- Booking of holds and pay to holds with flexible conversion options
- Automated loan allocations based on an equitable allocation algorithm with the ability to capture allocation overrides
- Integration with Securities Finance Market Data for analytical and market data for price discovery and a view of market depth and trends
- Support for evergreen and extendable structures

Flexible and complete trade life-cycle management

Securities Finance Processor helps you drive down costs and enables you to optimize your operations by reducing manual effort through maximum automation.

- Supports the full lifecycle management of Securities Lending & Borrowing trading and Repo Interlife management
- Flexible single and bulk trade amendment capabilities, with controls on instruction generation
- Full cancel and correct of pending, outstanding, and fully repaid trades
- Comprehensive (collateral and fee) exposure management, with automated mark-to-market
- Automated and flexible single and bulk cash margin call processing
- Single or bulk trade re-rate processing with fixed or floating index rates
- Extensive Recalls processing with an interface to Securities Lending Processing Platform
- Configurable return and return allocations processing
- Option for automated dividend and mandatory corporate actions processing, including generation of claim and payment tracking
- Flexibility of accrued interest clean-up options for monthly billed or intra month billed trades
- Support for agency trade activities, providing the ability the ability for automated allocations to recalled funds when posting returns and fund re-allocations.
- Comprehensive bi-directional Securities Lending Processing Platform interface supporting full lifecycle activities such as marks, returns, cancels, rate changes
- Support for Contract compare, Billing compare, Auto marks and Recalls for those utilizing Securities Lending Processing Platform
- Flash P & L reporting
- Flexible Fee/Rebate statement processing, incorporating (minimum) fee calculations
- Extensive Fund Earnings statements for agency lending, including multiple management fee splits
- Control and audit of fee accruals and collection/ posting of payments for fees/rebates and fund earnings, with thresholds on write-off capabilities
- Option to auto reflect all trade lifecycle activities on inter/intra company linked trades, using a custom rules engine

Settlement and instruction processing

Securities Finance Processor provides efficient and flexible settlements processing, incorporating a high degree of straight-through processing, helping you to control the operational costs of your securities finance business.

- Flexible support for multiple types of settlement and instruction processing based on delivery mode/depot
- SWIFT-formatted messages for all securities lending-related security and cash trade messages, at both trade and fund levels
- Separate status management of security and cash legs of trades
- Pre-payment handling and controls
- Support for minimum and maximum tradable lot processing
- Fails management with reason codes, including SWIFT fail messages
- Auto generation of standard confirmations at both trade and fund levels
- Instruction bulking and netting by common criteria
- Comprehensive bi-directional CREST interface providing maximum automation for trading and collateral management flows
- Comprehensive bi-directional Securities Lending Processing Platform interface for settlement and trade activity

Audit and control

Securities Finance Processor provides a clear and comprehensive audit trail for all trade life-cycle activities, from initial trade creation to final return. In addition, comprehensive static data amend capabilities ensure your ability to track changes to the underlying data.

- Detailed audit for all activity during the full life of a trade, including user-ID and date/time stamp
- Flexible and extensive client reference data management functions, with record of any static data changes, along with user-ID and date/time stamp
- Hierarchy-based user access rights
- Optional 4-eyes authorization of hierarchy-based trade life-cycle activities and static data changes
- Automated inter/intra company trade activity processing minimizes reconciliation needs
- Compliance control, monitoring and specific regulatory reporting for Agency Lending Disclosure of Principal (ALDOP), Securities Financing Transaction Regulation (SFTR), Agency Lending Disclosure and Stamp Duty for Hong Kong Borrow trades

Reporting

Securities Finance Processor comes with an extensive suite of standard operational reports. Additionally, Securities Finance Processor data can be accessed on a real-time basis in order to provide tailored management and client reporting.

- An extensive library of standard reports with highly flexible selection criteria
- Integration with standard scheduling tools
- Availability of data via standard export tools or via APIs
- Data access (via documented data universe) for standard BI tools (e.g., Business Objects)
- Option to export pre-calculated report contents in XML/Excel



About FIS

FIS is a leading provider of technology solutions for merchants, banks and capital markets firms globally. Our 55,000 people are dedicated to advancing the way the world pays, banks and invests by applying our scale, deep expertise and data-driven insights. We help our clients use technology in innovative ways to solve business-critical challenges and deliver superior experiences for their customers. Headquartered in Jacksonville, Florida, FIS is a Fortune 500® company and is a member of Standard & Poor's 500® Index.500® company and is a member of Standard & Poor's 500® Index.



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