



FIS SECURITIES PROCESSING MANAGER

FORMERLY PHASE3

For Institutional Broker Dealers, all operational requirements on a single, real-time platform

Introduction

In today's dynamic environment, institutional broker/dealers require real-time information to stay up to date on market developments and client requirements. They need a solution that not only allows them to manage their trades, positions, and balances throughout the day but will also allow them to perform reconciliations today, not tomorrow.

A real-time solution

Firms can manage these challenges with FIS® Securities Processing Manager (formerly Phase3). A real-time, cross-asset solution that seamlessly connects with trading platforms in the front office through to the back office for complete straight-through processing, from deal capture to allocation, confirmation and settlement.

Securities Processing Manager provides a single, real-time platform to handle all the operational requirements of institutional broker/dealers across products and regions. Securities Processing Manager also offers built-in connectivity to major clearing interfaces for real-time clearance and settlement.

Enhanced user experience

Securities Processing Manager also delivers an updated web based HTML5 user interface that creates a more efficient workspace and better user experience to your operations team.

Users are also connected to our on-line documentation via the FIS Client Portal with access to a large library of Securities Processing Manager and other FIS solutions. Users can search throughout the site on industry and processing questions.

Manage risk, counterparty exposure and governance

The open architecture of Securities Processing Manager makes it easy to integrate with other systems, whether proprietary or third-party.

Customers can benefit from existing links to other FIS solutions, which gives them access to the tools they need to mitigate risk, manage counterparty exposure and improve governance.

For example: FIS® Fail Monitor offers fail tracking, accrual of fail charges – including claims processing – and overall fail management. FIS® Credit Monitor can help institutional broker/dealers mitigate counterparty exposure by automating the process of credit risk monitoring for repo and other financing products. Credit Monitor also performs both strategy- and risk-based margin calculations.

Securities Processing Manager also integrates with FIS's Valdi OMS solution for trade execution and its Infinity platform for business processing. Supports both US domestic and international trading up to 150+ markets. In addition, Securities Processing Manager offers access to FIS's Hot Site Recovery service. Hot Site Recovery provides dedicated hardware and redundant communications that continuously replicate a customer's trade information – every second of the day. That means that in the event of an emergency, the firm's data will be recovered from the point of failure, not from the last set of backups. Business can continue as smoothly as possible with minimal delays and without requiring the re-entering of critical data.

KEY FEATURES



Real-time trade processing and middle-office functionality



Real-time trade comparison and reporting



Connectivity for real-time clearance and settlement



Manage risk, counterparty exposure and governance

Real-time trade processing and middle-office functionality

- Deal capture
 - Valdi OMS
 - Bloomberg TOMS
 - FIS® Securities Finance Trading Manager (formerly Apex Securities Finance)
 - TBA Mortgage Master
 - Standard FIX messaging for connectivity for DMA or any trading platform
- Enrichment and validation
 - Global holiday calendar
 - Flexible charge calculations – multi-market and product
- Allocation
 - Omgeo OASYS
 - Trade APIs
 - FIX messaging
 - Average Price
 - Securities Processing Manager UI

Real-time trade comparison and reporting

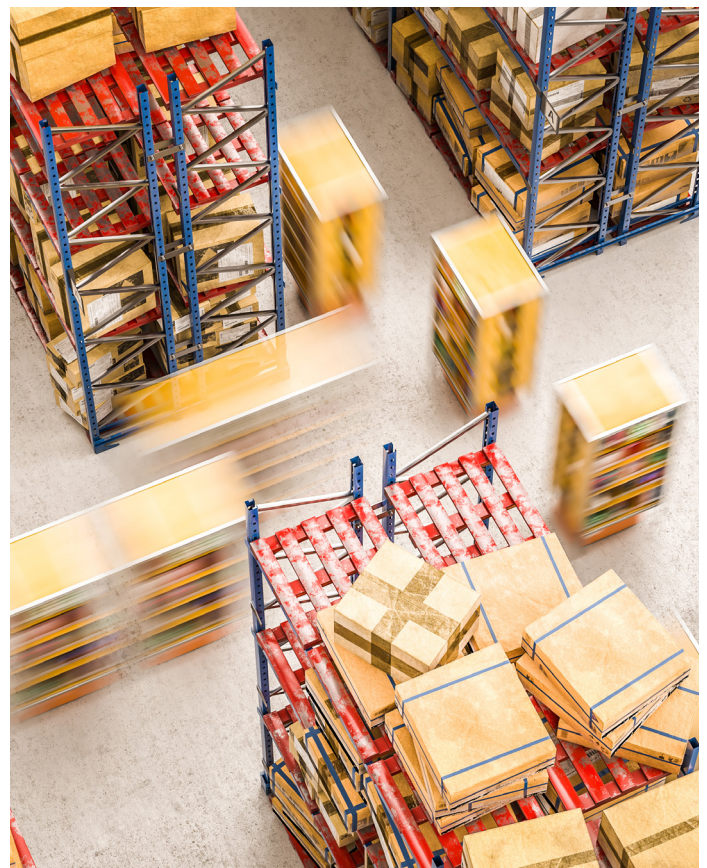
- FICC – GSD, CMU, MBS, GCF
- NSCC
- TRAX

Connectivity for real-time clearance and settlement

- FICC – GSD, CMU, MBS, GCF
- BONY, BMO Harris
- DTCC – IID, Autocage, Prime Brokerage, Correspondent Flip
- OCC – trade and position match
- Euroclear
- SWIFT
- CREST
- FIS® Securities Lending Processing Platform

Key Benefits


- Provides real-time information to help customers understand their position and mitigate risk throughout the day
- Increases efficiency and centralizes information by processing across currencies, businesses and regions on a single platform
- Reduces delays and errors by consolidating books and records
- Connects to a broad range of clearing utilities in the U.S. and abroad, as well as market centers and third-party vendors
- Helps control costs by reducing manual processes and increasing automation
- Handles high volumes efficiently
- Supports complete business continuity through the Hot Site Recovery service



About FIS

FIS is a leading provider of technology solutions for merchants, banks and capital markets firms globally. Our employees 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.

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