



## CASE STUDY

# FIS SECURITIES PROCESSING SUITE

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Integrating Front and Back Office

## Consolidated Core: Greater Automation, More Flexible Growth

Efficient, predictable capital markets are essential to vibrant economies. In the same way, effective, reliable core processes are crucial to bank operations and growth.

With these realities in mind, this U.S. investment banking arm of a global financial services powerhouse has embarked on a strategic initiative. The organization is consolidating three disparate systems with the automated, end-to-end functionality of the FIS® Securities Processing Suite. As a result, it is saving significant cost, reducing risk, gaining new visibility and insights – and transforming its ability to compete.

### Primed for Improvement: Systems and Operations

Like many banks, the company had become dependent on outmoded core systems – and on an IT vendor that wasn’t responsive to changing needs. With licensing and management costs for the legacy software increasing significantly, that growing price tag threatened competitiveness and profitability.

What’s more, acquisitions had resulted in disparate back-office legacies for running fixed-income equities and international processing. That resulted in profound constraints on operational efficiencies. It also meant limited visibility into data and processes across operations.

Just as significant, internal staff lacked knowledge across all the systems, causing ongoing issues and frustrations. Poor integration and limited functionality likewise were a drag on daily operations and nimble growth.

### Return on Integration

The bank enjoyed a longstanding relationship with FIS, which delivers solutions for its capital markets business. So, it made perfect business sense to turn to FIS for integrated, automated securities processing.

FIS is replacing the bank’s legacy systems with its state-of-the-art Securities Processing Suite. In addition to providing robust new capabilities, the new platform will deliver significant process automation and efficiencies. It will also reduce costs and effort for ongoing operation and management.

Securities Processing Suite is enabling the bank to consolidate and automate its back-office systems on a single, scalable platform. The solution will give the organization unprecedented flexibility to scale as its business grows. It will also provide the company with real-time, end-to-end visibility into its data and operations. And with its new-found functionality, speed and transparency, the bank will be able to reduce risk and respond to changing compliance needs.

### CLIENT BACKGROUND

This leading U.S. securities broker-dealer is a division of a global financial group. Its activities include securities and futures brokerage, origination and trading of debt and equities securities, and mergers and acquisitions advisory services. The company is a primary dealer in U.S. government securities and has billions in total assets.

## Anticipating Integrated, Automated Advantages

Securities Processing Suite is empowering the broker-dealer to improve its cost structures, optimize its operations and respond to market dynamics. Tangible business benefits will come in several key areas:

- **Cost** – FIS has flexibly structured the relationship to help the client realize significant cost savings. In fact, over the multi-year lifetime of the agreement, the company will garner remarkable savings over the cost of its previous solution. And with a single solution and database, the bank can simplify its IT infrastructure.
- **Efficiency** – The single, integrated suite will manage and optimize the bank's entire business. The company will benefit from a much more consistent, efficient and effective reporting structure.
- **Visibility** – The solution will deliver greater visibility and insights, empowering the bank to make more accurate and timely business decisions. And with a single platform, both IT and banking staff can fully leverage training and knowledge.
- **Responsiveness** – FIS will ensure the ongoing effectiveness of the implementation through a strong program management office. We'll continue to collaborate toward better solutions, build greater trust and ensure positive outcomes.

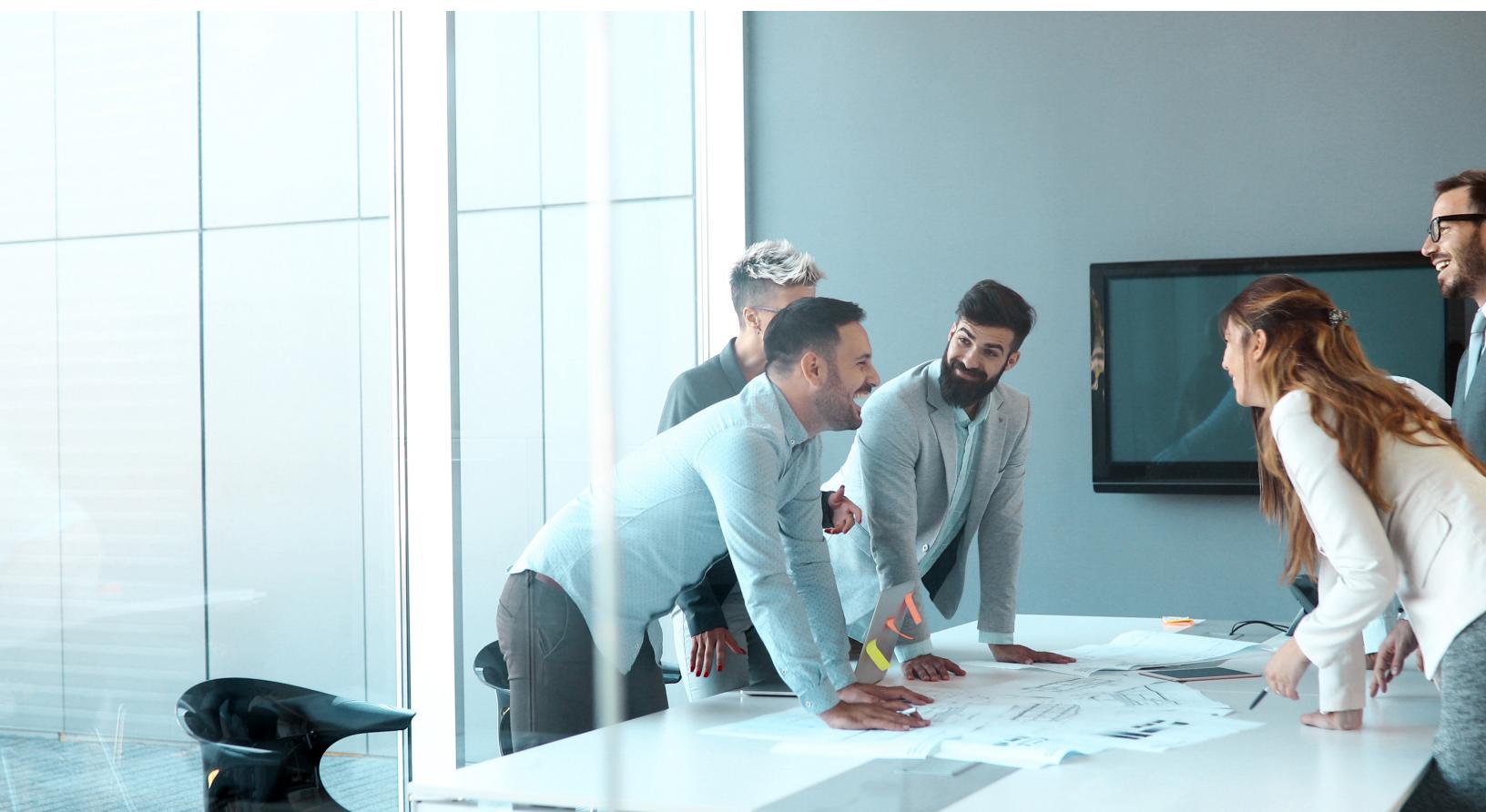
- **Profitability** – Most important, the company is positioned to grow its business while keeping margins competitive and optimizing profitability. It can maximize its straight-through processing rate, automate processing of mortgage-backed securities, and leverage real-time data across the enterprise.

Like all broker-dealers today, this investment banking leader must adapt its strategies and operations in the face of margin and regulatory pressures. Securities Processing Suite will empower the company to reduce cost and risk, meet new customer demands and make informed decisions to drive its future.

### Building On Business Success

**“Because of our existing relationship with the bank and the breadth of solutions we already provided, we were able to position a package that combined significant cost savings with end-to-end integration and automation.”**

Jennifer Hanes,  
Division Executive, Securities Finance &  
Processing, Capital Markets & Credit, FIS



## 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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