



# Phase3

Handling all operational requirements on a single, real-time platform

## Phase3 for Institutional Broker-Dealers

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.

### Real-time solution

Firms can manage these challenges with 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.

Phase3 provides a single, real-time platform to handle all the operational requirements of institutional broker/dealers across products and regions. Phase3 also offers built-in connectivity to major clearing interfaces for real-time clearance and settlement.

### User Experience

Phase3 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 our CM Portal with access to a large library of Phase3 and other FIS solutions. Users can search throughout the site on industry and processing questions.

## 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
  - 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
  - Phase3 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
- Loanet

## Manage risk, counterparty exposure and governance

Phase3's open architecture 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, Fail Monitor offers fail tracking, accrual of fail charges – including claims processing – and overall fail management. 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.

Phase3 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, Phase3 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 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 more than 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. To learn more, visit [www.fisglobal.com](http://www.fisglobal.com). Follow FIS on [Facebook](#), [LinkedIn](#) and Twitter ([@FISGlobal](#)).