



# TRANSFER AGENCY SERVICES

## Investment Operations

**Confronted with global economic uncertainties, investor demand increases every day. And, while investment performance is the responsibility of the asset manager, it is the transfer agency service provider who delivers the confidence that records are accurate and reports are timely and transparent.**

At the same time, you must adjust your competencies to accommodate the exploding array of non-traditional fund products; such as hedge funds, collective trusts, exchange traded funds (ETFs), non-U.S. domiciled funds – and other vehicles requiring transfer agency support. Asset managers are broadening their relationships with trusted service providers as they launch these more complex and varied products. The challenge is to maintain that trusted relationship and provide the security that you can grow with them without adding staff.

In today's marketplace, you need to be able to support the asset manager with flexible solutions that can adapt to market volatility and product evolutions including business process management tools that automate redundant functions, manage workflows, monitor processing activities and generate instantaneous alerts and processes for items requiring immediate action.

Companies like yours that step up to the challenge of meeting the industry's soaring demands are discovering that the accuracy, quality, and speed of their transfer agency's capabilities offer a key advantage – and differentiator – for their businesses.

*FIS' Transfer Agency supports our business goals by providing a scalable, cost effective platform capable of specialized processing activities.*

*CHRIS KOONS, CHIEF OPERATING OFFICER ATLANTIC FUND SERVICES.*

### FIS' TRANSFER AGENCY SOLUTION FOR MULTIPLE PRODUCTS

- US and non-US funds
- Alternative Investments
- Closed-end/interval funds
- Collective funds
- Cash funds and pools
- Intra-day, periodically priced investments
- Sub-accounting
- Educational savings plans
- Dividend reinvestment plans

### FIS' INTEGRATED ASSET MANAGEMENT SOFTWARE

- Processes over \$25 trillion in assets
- Supports clients spanning 24 countries
- Provides global investor and Transfer Agency services for hundreds of asset managers and millions of investors

## Discover the benefits of FIS' Transfer Agency

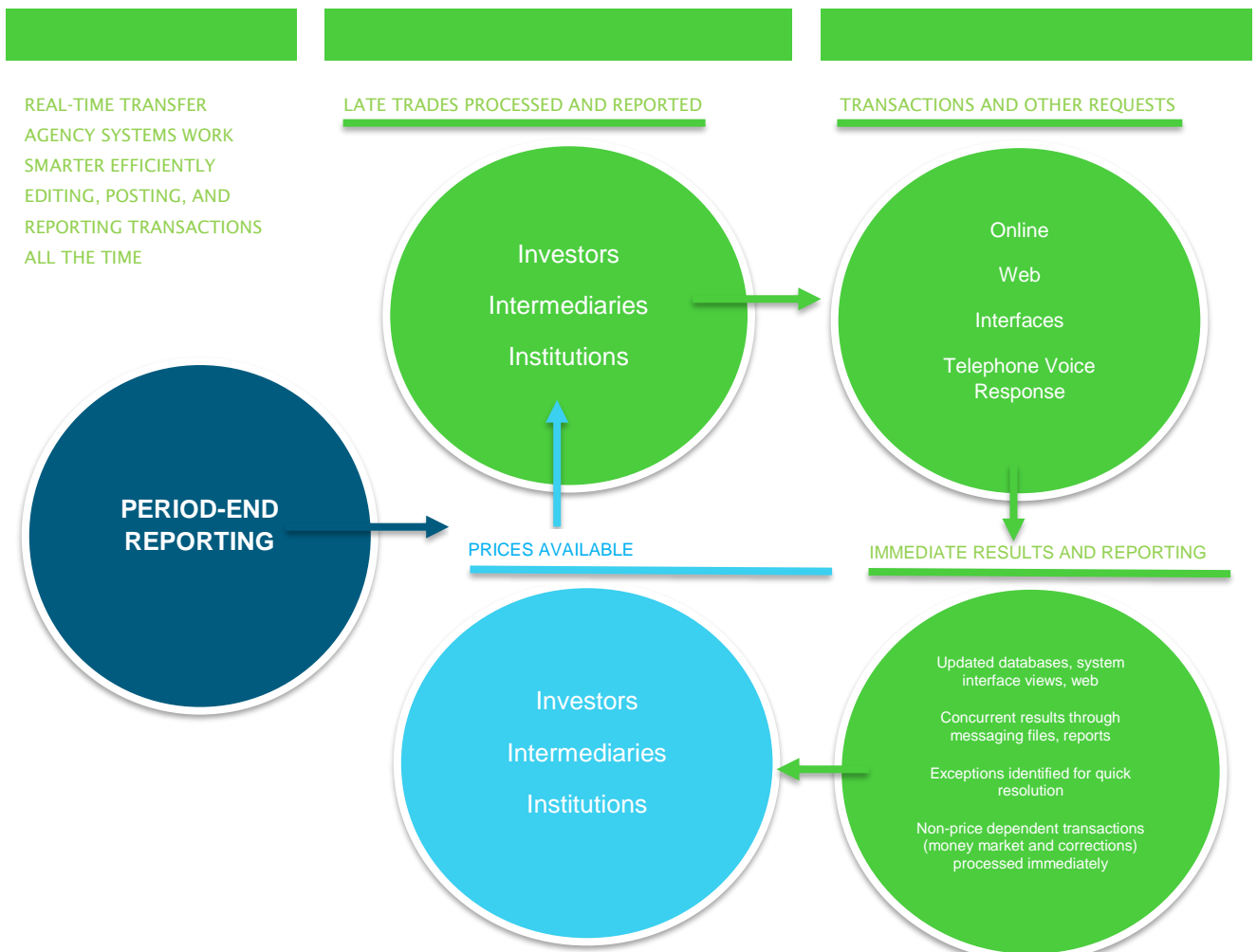
The closer you look at FIS' Transfer Agency, the clearer your choice will be. With FIS behind your efforts, your operational and administrative tasks just keep getting easier. Employing all-in-one, best-of-breed technology, FIS applies a broad menu of robust, flexible and cost-efficient solutions to enable you to meet investors' needs for real-time access to their accounts – and much more – in a fully integrated platform of services. Our clients benefit from a full menu of capabilities for investor servicing, investment management and investment operations.

## Increase your productivity and efficiency

With our powerful suite of system tools, you can increase productivity and efficiency while remaining flexible. From portal access for account holders, dealers, institutions and interested parties to automated reconciliation, reporting and exception management, our Transfer Agency's broad menu of capabilities provides flexible, real-time results and instantaneous data delivery.

As an open system solution, FIS' Transfer Agency enables easy integration and interoperability with your preferred applications and existing IT infrastructure.

Flexible and user-friendly, our intuitive interface enables you to reduce training time, while adding versatility for staff resources to work on cross-functional activities. When spikes in activity occur, you can smooth out the workload as you broaden your staff's abilities to handle multiple activities.



## Designed to expand as your business grows

With the scalability to support the data volumes of the world's largest asset managers, our solution also has the flexibility to address unique servicing requirements. Our cloud solution delivers cost efficiency for organizations of varying sizes.

Through our multi-currency trading and payment capabilities, FIS' Transfer Agency enables expansion into strategic global regions with the efficiency of a single platform.

## Empowering data delivery, real-time

Improve your transfer agency efficiencies with our rich functionality and vast network infrastructure. Let our tools handle your data demands, while you focus

on person-to-person client services. FIS' Transfer Agency can promote and facilitate your interaction with trading networks and portals, while providing immediate improvements in timeliness and accuracy. The system also supports web-based client access to investor information.

FIS' solution connects seamlessly with other applications to facilitate straight-through processing and distribution of investment products.

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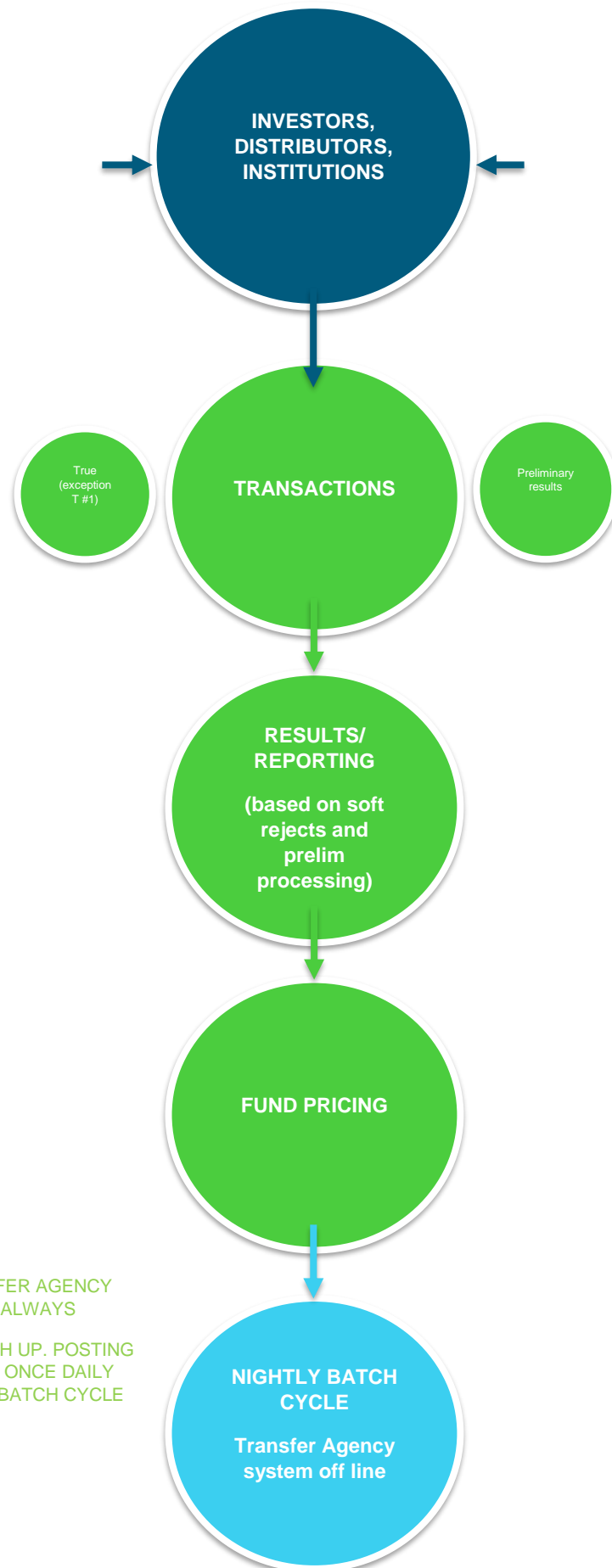
*FIS' Transfer Agency offers the flexibility and customization to accommodate our clients' specific regulatory needs.*

MAUREEN A QUILL, EVP, CHIEF OPERATING OFFICER

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BATCH TRANSFER AGENCY SYSTEMS ARE ALWAYS

PLAYING CATCH UP. POSTING OCCURS ONLY ONCE DAILY IN A LENGTHY BATCH CYCLE



## Relationship reporting spoken here

Money management is a relationship business. To have a clear understanding of investor and dealer relationships requires the openness and flexibility of a fully relational reporting database that provides real-time information delivery options, including:

- Streaming to enterprise data repositories.

Support for a variety of reporting tools.

- Access to real-time periodically updated data.

The importance of regulatory compliance and transparency can hardly be overstated today. That's why FIS' Transfer Agency not only helps manage the risks associated with the accuracy of investor records, but also provides real-time processing results, comprehensive system edits, integration with compliance reporting tools and complete audit records.

If you are looking for a transfer agency solution that offers high caliber technology along with the built-in flexibility and service features that you and your customers demand, then FIS' Transfer Agency has you covered.

Benefits you	Features of FIS transfer agency
<p><b>Affords a long-term solution, supporting your current business needs and easily adapts to new market opportunities</b></p>	<ul style="list-style-type: none"> <li>• Powerful and flexible platform with Oracle 11G, JAVA and HTML5 as its foundation</li> <li>• Rich Internet Application User Interface requiring no client software install</li> <li>• Highly conducive technology structure supporting agile product development and reduced software maintenance</li> <li>• True real-time, 24/7 processing environment delivering immediate results</li> </ul>
<p><b>Provides the servicing power to support a broad range of investment products</b></p>	<ul style="list-style-type: none"> <li>• Highly configurable for servicing multiple product types: US and non-US funds                             <ul style="list-style-type: none"> <li>– Alternative Investments</li> <li>– Closed-end / interval funds</li> <li>– Collective funds</li> <li>– Cash funds and pools</li> <li>– Intra-day, periodically priced investments</li> <li>– Sub-accounting</li> <li>– Educational savings plans</li> <li>– Dividend Reinvestment plans</li> </ul> </li> </ul>
<p><b>Expands your global servicing opportunities</b></p>	<ul style="list-style-type: none"> <li>• Supports US and non-US fund operations with single platform efficiency</li> <li>• Minimizes technology footprint while extending reach to multiple geographies</li> <li>• Connects and transacts with strategic fund trading networks worldwide</li> <li>• Delivers transparency and self-service through global dealer and fund manager portals</li> </ul>
<p><b>Allows for cost-effective participation in the growing alternative investment servicing market</b></p>	<ul style="list-style-type: none"> <li>• Automates transaction interfacing with alternative investment trading networks, distributors, business partners</li> </ul>
<p><b>Avoids processing bottleneck and data dependency through an open system environment</b></p>	<ul style="list-style-type: none"> <li>• Supports expansive integration through web services, message streams, extracts, or bulk files for real-time or just-in-time integration</li> <li>• Allows for “plug and play” with other strategic technology</li> </ul>

## On top of technology

Leveraging market-leading technologies, our Transfer Agency solution delivers transparency and easy data access through a fully relational Oracle® database. With flexibility built in, you can easily adapt to changing market conditions and shifting business plans, without sacrificing efficiency or cost control.

FIS Transfer Agency features user access through an intuitive browser-based interface, eliminating the need for desktop installations and ensuring rapid deployment of software updates with 24x7 system availability.

FIS' Transfer Agency easily integrates with other FIS front-, middle- and back-office solutions, as well as provides open messaging, web services and connectivity to other applications.

In addition, FIS' Transfer Agency brings together other FIS solutions under a common framework by leveraging collaboration technology such as Common Services Architecture (CSA), similar in effect to the industry standard, Service Oriented Architecture (SOA). Through FIS' value-added approach, we incorporate other compelling technology features including business process management (BPM) and software-as-a-service.

## Flexible deployment options

FIS' Transfer Agency is available on an installed or ASP basis. With our ASP offering, you can benefit from our world class technology hosting services while reducing your total cost of ownership (TCO). It also means that FIS can deliver new technology and functionality to you and other ASP clients quickly by leveraging FIS' ASP infrastructure.

The ASP model also provides you with the freedom and flexibility to deploy your resources to more revenue generating roles if you choose. Let FIS handle the time-consuming responsibilities of equipment management, version upgrades and disaster recovery while your company competes in the marketplace. FIS can work with you on the best deployment decision for your needs.

## Benefits of ASP

- Leverage FIS expertise in providing ASP solutions to the financial services industry
- Scale in procurement of hardware and software through FIS' relationship with leading IT providers
- Professional management by those who understand the application best
- Seamless delivery of fully-tested application upgrades .
- 24/7 on-site application and infrastructure support and monitoring.

## OPTIMIZE YOUR OPERATIONAL EFFICIENCIES WITH FIS' TRANSFER AGENCY

### Your technology or ours; integration is easy

Our multiple integration options, including Web Services, allow easy integration with other FIS products, your own technology, or any combination.

### Connected to the world

Fund groups can seamlessly connect real-time with services they need, including trading networks like the NSCC and SGN Funds as well as a wide variety of industry portals.

### Powerful, yet flexible capabilities

## About FIS' Investment Operations

FIS' Investment Operations is a global suite of products and services for asset managers, institutional investors, and traditional and alternative fund administrators. Investment Operations supports the entire investment process, from portfolio management, risk management and compliance to investment accounting, transfer agency and client reporting. Combining deep functionality with broad business process management capabilities, FIS helps investment firms manage complexity, increase efficiency, and respond quickly to changing business and regulatory requirements.

## 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 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](#)).