

OPERATIONS AND TECHNOLOGY

MANAGED SERVICES

Empowering the Financial World
FISGLOBAL.COM



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Why FIS?

FIS empowers financial institutions around the world to transform the economics, scale and growth of their clearing businesses by reducing operational complexity, risk and cost.

Our managed services offerings enable you to redirect your internal resources towards the strategic initiatives that will improve your ability to compete and grow your business over the long term.

We'll show you how you can adapt your post-trade operating model to meet the many challenges derivatives and securities clearing firms face today:

- We have more than 30 years of experience delivering proven solutions serving as the backbone of clearing businesses around the world.
- Our global technology footprint covers more than 135 cleared derivatives markets in more than 35 countries.
- Eight of the top 10 futures commission merchants (FCMs) use FIS for listed and cleared OTC derivatives processing.

As a leading provider of managed services, FIS provides flexible and secure deployment options around our software solutions, ranging from infrastructure and application management to business process outsourcing (BPO), business process as a service (BPaaS) and industry utilities.



Think — and Operate — Differently

The world of investment banking and securities brokerage has changed dramatically as a result of the long-term low interest rate environment as well as constantly changing and increasingly complicated regulatory requirements. These market challenges, and others, have increased the cost and complexity of managing internal operations and IT infrastructures:

- A multitude of business and operational challenges are increasing IT maintenance requirements, and draining resources.
- Regulatory burdens are consuming capital resources resulting in greater operational stress.
- Multi-system environments are escalating costs and slowing innovation.
- Data security and protection have become an everyday threat.
- Rapidly advancing technology has outpaced most firms' ability to effectively monitor and adopt such technologies.

Your survival and growth relies on your firm's ability to think and operate differently. In doing so, you'll be able to identify and respond to new, profitable business opportunities and dedicate your resources to the strategic and customer-facing initiatives that will differentiate and grow your business.

FIS can help. Our managed services offerings for post-trade operations can empower your business to thrive and reach new goals.

Sustainable business models

With growing margin pressures, it may not be surprising to realize that your operating model is no longer sustainable in today's clearing business environment.

Our managed services can help your firm combat operational challenges and shrinking resources for IT, infrastructure and headcount. We deliver greater efficiencies to each firm through the economies of scale we've built over decades, now extended to new outsourcing models that mutualize common processes while eliminating redundant and inefficient processes.

Versatile operations

At the core of our managed services offerings is our comprehensive processing solutions for derivatives and securities, which integrate and automate critical front- to back-office processes. Through a vast global connectivity network, business process management, and multiple deployment options, FIS can help your firm achieve higher levels of efficiency, flexibility and scalability to support new business initiatives.

Aggressive innovation

The demands of competition and regulatory compliance costs may be constraining your investment in innovation. With FIS, you'll no longer need to worry about falling behind the technology curve.

At FIS we are continually improving our software solutions. We're building tighter integration and advancing our front- to back-office platforms that are the backbone of our managed services offerings. And, we're utilizing the latest technologies to drive robust data and analytics, as well as improving the customer and user experience through enhanced interfaces, cloud services and mobile enablement.

Become Empowered to Adapt and Thrive

FIS' managed services make it easier for you to adapt and react to challenges and opportunities, regulatory and global complexities in the securities and derivatives markets.

Drive growth

Shift your firm's focus to enhancing the client engagement and new business opportunities:

- Dedicate more resources to strategic, differentiating initiatives.
- Expand into new markets faster and with less resources.
- Launch new products quicker and more cost-effectively.

Increase efficiency

Leverage the depth of FIS' market-leading IP to reduce operational risks and costs:

- Improve cross-asset workflows and access to data.
- Take advantage of FIS' diverse set of skills to run complex operational environments.

Decrease total cost of ownership (TCO)

Enhance your firm's operating model by maintaining a more predictable operating cost structure:

- Reduce the cost of IT, infrastructure and headcount.
- Mutualize and share the cost of common processes.

Reduce risk

Leverage a proven, secure and innovative technology infrastructure:

- Keep up to date with regulatory compliance reporting requirements.
- Improve exception and issue resolution.
- Leverage FIS' unmatched data center operations and business continuity expertise.

Ensure security and compliance

Meet increasing standards for customer and regulator cyber security:

- Prevent increasingly complex physical and virtual threats.
- Control operational and regulatory risk through documented change control procedures.

Ease system migration

Transition to FIS' new cleared derivatives solution or the FIS Derivatives Utility more quickly and with less resources:

- Achieve greater TCO savings, efficiencies and data access sooner.
- Contribute feedback, participate in testing and influence further development earlier in the platform's lifecycle.
- Enjoy a smoother transition to new platforms.

Managed Services for Post-trade Operations

Maintain control and focus on your core competencies — without the high cost and complexity of infrastructure, overhead and maintenance. FIS can help you determine the best option for your firm by assessing your specific needs and performing a detailed cost-benefit analysis. As part of the service level agreement (SLA) that comes with any of our managed services, FIS provides assurances on performance and availability of its software and related services.

Infrastructure Managed Services (IMS)

Supports your entire infrastructure, including hardware, data and exchange connectivity:

- Provides hosting and management of your infrastructure.
- Ensures disaster recovery and business continuity for mission-critical applications.
- Supports global and regional businesses 24/7.

Application Managed Services (AMS)

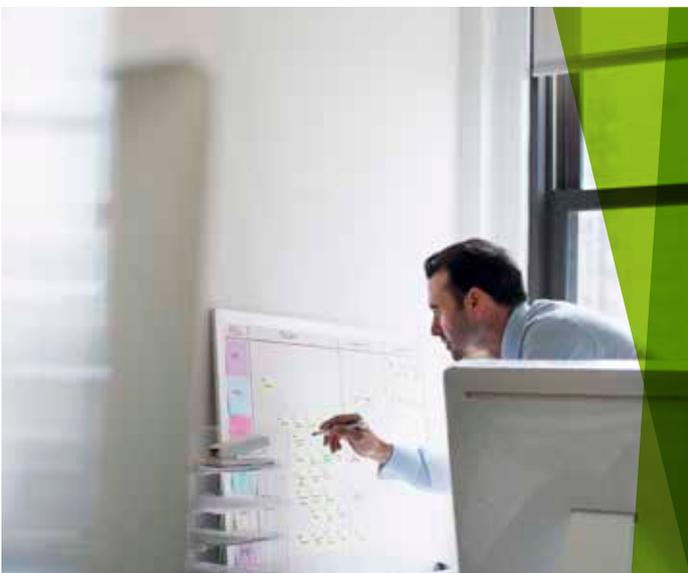
Hosts and monitors your FIS derivatives and securities processing solutions:

- Maintains interfaces with internal and external systems.
- Provides customization to meet your firm's unique requirements.
- Ensures automatic availability of new releases and upgrades to your users.

FIS Derivatives Utility

Provides full outsourcing of your cleared derivatives operations and technology:

- Leverages economies of scale in middle- and back-office processing and technology.
- Mutualizes common, non-differentiating derivatives processing functions across firms.
- Alleviates the cost pressures of regulations and central clearing.
- Promotes data standardization, open source interfaces and industry collaboration.
- Spreads the cost of innovation across all participants.



Highly Secure and Always On

Data, system and network protections

FIS protects your data, systems and networks from unauthorized access through strict encryption methods around data transmission, user passwords and network segregation. In addition to constant intrusion monitoring and detection, FIS performs yearly penetration tests and vulnerability scans:

- Encrypted data at rest and data in motion.
- Restricted data access among users and between firms.
- Segregated production, testing and office networks to prevent a breach from spreading to other networks.

High security controls

FIS' security practices are based on the International Standards Organization (ISO) 27001:13 — the most widely accepted information security standard. Our standard controls meet compliance requirements and help you gain efficiencies in several key areas:

- Sarbanes-Oxley (SOX) IT controls.
- Attestation portfolio (SSAE16 (SOC1) Types 1 and 2, SOC2).
- Federal and international regulations.

Business continuity

FIS gives you peace of mind that your critical processing functions and data are protected from any unforeseen event that could impact your business. With reliable recovery point and recovery time objectives that meet even the most stringent service levels for any business, you can trust that FIS is making sure your business operations endure every day, even under the toughest challenges. We provide:

- ISO 22301 certified business continuity processing (BCP) program.
- Disaster recovery (DR) planning and regular DR testing.
- Highly secure, strategic data center locations.



FIS operations and technology capabilities

FIS empowers investment banks and securities brokers around the world to adapt and react to market challenges and opportunities, regulatory changes and global complexities to foster increased profitability and competitive advantage. With deep and broad industry expertise across securities as well as listed and cleared OTC derivatives, FIS delivers a cross-asset solution suite that automates middle- and back-office processes and workflows including derivatives reconciliation with exchanges and central counterparties, and daily settlement and contract data coverage for more than 80 derivatives exchanges. FIS' post-trade clearance and settlement solutions drive process and data standardization and integrate with other FIS solutions including investor and advisor platforms and new account onboarding as well as trading, securities financing, collateral management and risk and compliance. FIS' proven managed services and the FIS Derivatives Utility enable firms to transform the economics, scale and efficiency of their clearing businesses by reducing operational complexity, risk and cost.

About FIS

FIS is a global leader in financial services technology, with a focus on retail and institutional banking, capital markets, payments, asset and wealth management, risk and compliance, consulting and outsourcing solutions. Through the depth and breadth of our solutions portfolio, global capabilities and domain expertise, FIS serves more than 20,000 clients in over 130 countries. Headquartered in Jacksonville, Florida, FIS employs more than 55,000 people worldwide and holds leadership positions in payment processing, financial software and banking solutions. Providing software, services and outsourcing of the technology that empowers the financial world, FIS is a Fortune 500 company and is a member of Standard & Poor's 500® Index. For more information about FIS, visit www.fisglobal.com

