



# CORPORATE ACTIONS INTEGRATION

An integrated module of FIS' InvestOne fund accounting and administration solution

## Straight-through corporate actions processing, risk reduction and transparency

The growing complexities of corporate actions management and accounting are stretching operational resources and challenging their processing norms. Many of today's asset managers and their servicing partners, therefore, are turning to technology to streamline and automate the management of corporate actions announcements, elections and resulting entitlements processing.

InvestOne's Corporate Actions Integration module offers our clients, who leverage the FIS fund accounting and administration solution, a powerful and integrated tool that escalates and supports straight-through corporate action processing to complete the fund administration cycle.

The days of cascading stock-split and dividend terms across a group of funds are no longer sufficient for today's volume of complex corporate actions. For example, several fixed income security corporate actions require the tracking of varying elected options for the same corporate action, including cash, security, and full or partial elections. FIS is pleased to have developed a module for InvestOne users to ingest corporate action details from upstream systems and automatically process accurate investment accounting transactions for each affected fund.

The Corporate Actions Integration module is FIS' first Software-as-a-Service (SaaS) ready, end-to-end, integrated corporate actions solution. Corporate Actions processing with InvestOne provides straight-through processing of accounting transactions into InvestOne using corporate action election and entitlement data exported from any upstream corporate actions management platform.

### InvestOne's Corporate Actions Integration solution automates:

- Fixed income corporate actions
- Prorated terms and partial elections
- A range of cash and security payout options, including multiple security payout events
- Cancellations and amendments
- Commitment or restriction of shares at the time of election and against receipt of new shares prior to settlement

Empowering  
the Financial World



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## Comprehensive Processing

The Corporate Actions Integration module, complete with entitlement reconciliation, corporate actions search and process monitoring, is part of an end-to-end solution that automates corporate actions processing covering a variety of global asset types, cross currency events, multiple payouts, partial elections, and more.

The module has created new efficiencies, allowing clients to see increased straight-through processing while maintaining corporate action transaction posting accuracy within InvestOne. Upon adoption of the Corporate Actions Integration module, InvestOne clients have witnessed the elimination of manual entries and laborious reviews, gained process transparency and achieved an overall risk reduction. The module also extends InvestOne's native corporate action generation coverage, as transactions for many fixed income asset types can now be automatically applied across a large set of funds.

## End-to-end corporate actions management

FIS' Investment Operations suite features a corporate actions technology solution that receives information from disparate sources in multiple formats and uses

this data to create and manage corporate actions events. FIS' Corporate Actions solution provides a comprehensive set of workflows that help identify key data discrepancies. We manage the event through a centralized, fully automated electronic diary, defining entitlements for all types of recognized corporate actions events. We link the decision-makers on all voluntary and optional actions and produce the accounting entries for the entitlements generated from these events.

Powered by XSP (XSPrisa), FIS' Corporate Actions management platform, we help to fully expose the risks inherent in the manual corporate actions process, together with a solution that can overcome those risks with straightforward, industry-led processes used by a diverse, global client base. This cost-effective solution automates corporate actions processing and links it to trading, settlement, reconciliations, risk and collateral management platforms. It gives you a granular view of enterprise risk, from point of trade execution to point of entitlement settlement.



*Processing begins with an entitlement file from the corporate actions system of record, leading to routing, InvestOne processing, exception management, review, amendment processing, and settlement processing.*

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## Flexible Architecture

Both SaaS and installed InvestOne clients use the Corporate Actions Integration module. Its web-based user interface is intuitive for end users with minimal training, and provides exception-driven transparency into corporate actions flowing through to InvestOne.

## Flexible Input

FIS' strategic adoption of a standard canonical data input format affords the flexibility of feeding data from a variety of upstream corporate action management platforms. Clients can track corporate action announcements, elections, and export the event and entitlement details, for example, with FIS' Corporate Actions management platform – or opt for connectivity with a variety of other such platforms.

## Resiliency

Does your corporate action management system use different corporate action type codes? Not a problem. The Corporate Actions Integration module can pair alternate corporate action types with the equivalent code via a simple user interface configuration.

## Scalable Design

Corporate Action processing is organized by grouping corporate action types into processing flow classes. Corporate actions coming into the Corporate Actions Integration module are subjected to routing rules based on their characteristics and processed accordingly under an appropriate processing flow class. Newly introduced corporate action types can be configured with minimal programming effort, thanks to the common code under each processing flow class.

These processing patterns allow InvestOne's Corporate Actions Integration module to support straight-through processing for over 60 corporate action types, with more types being added as the industry evolves.

Basic mandatory corporate actions such as cash dividends, stock dividends, splits, mergers and spin-offs are easily supported, as are more complex types of corporate actions, including tenders, partial calls, full calls, stock/cash option dividends, rights distributions, rights subscriptions, and many more.

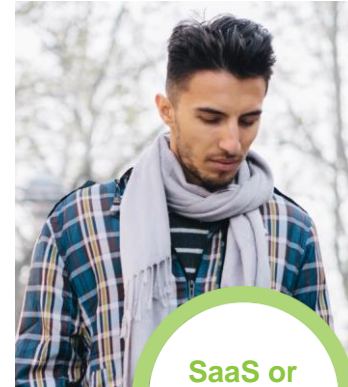
## About InvestOne

InvestOne is a real-time, modular investment accounting and administration system that lies at the heart of our Investment Operations technology suite.

It offers robust and scalable portfolio accounting capabilities to help you improve operational efficiency, support global expansion and access multiple views of account structures in real time. Investment banks, institutional asset managers and third-party administrators around the world rely on InvestOne as the flagship technology of their investment operations.

## FIS' vision for fund administration

Ultimately, through our Investment Operations suite, FIS aims to deliver technology assets and services that help you thrive on a global scale in today's fast-evolving markets. We will continue to do so by developing best practice, agile operations that allow you to move rapidly into new markets, grow your asset base and improve performance. At the heart of the ecosystem is a single, powerful source of data, feeding into and connecting with our comprehensive range of middle- and back-office solutions. By helping translate disparate outputs into meaningful information for multiple purposes, it will allow you to meet complex data requirements in the name of ongoing growth.



SaaS or  
Installed  
Delivery

60+  
Corporate  
Action  
Types

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## About FIS

FIS is a global leader in financial services technology, with a focus on retail and institutional banking, 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, Fla., FIS employs more than 53,000 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](http://www.fisglobal.com).