



# Securities360

An integrated, front-to back-office securities processing solution for broker-dealers

## Empowering broker-dealers to adapt and thrive

The regulatory and margin pressures broker-dealers face today are forever changing the economics, strategy and operation of their businesses. As firms make decisions to drive their future, they must be able to meet new customer demands and invest in an infrastructure that helps them improve service, expand offerings, and reduce the cost, complexity and risk of their business operations.

FIS can help you gain greater business value from the mission-critical technology infrastructure supporting your institutional or retail business. Our comprehensive Securities360 securities processing suite automates critical operations on a single integrated platform, provides your firm with the freedom to access your data, and optimizes workflows for increased efficiencies and economies of scale.

The power of an integrated securities processing ecosystem  
Securities360 provides an optimized processing ecosystem of global, multi-asset capabilities across your firm's business lines. It integrates bank and broker-dealer processing and offers a strong global footprint of exchange, clearinghouse and counterparty connectivity. Delivered through flexible deployment models, Securities360 provides a sustainable operating model that helps your firm to:

- Expand product offerings and asset classes
- Grow into new markets and geographies
- Reduce operational and regulatory complexity, risk and total cost of ownership (TCO)
- Respond quickly to new business opportunities and client needs
- Eliminate redundancies and alleviate strain on IT resources

Securities360 is an integrated platform comprised of leading FIS solutions for:

- Market data
- Investor services
- Advisor and correspondent services
- Trading
- Compliance and risk
- Middle- and back-office services
- Margin and credit
- Collateral management
- Corporate actions
- Securities finance
- Tax services
- Reconciliation

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## Securities360 components

Based on over 30 years of unmatched domain and technology experience, Securities360 serves as the backbone of your mission-critical operations and processes. The depth and breadth of our leading front-to back-office solutions and single-platform processing will help you adapt and thrive in today's challenging industry.

### Market Data

FIS helps firms meet business needs while improving efficiencies and reducing costs with comprehensive, global market data services.

- Quality-checked, fully-managed data feeds
- Access to real-time price information, news and analysis
- An analytical database management system
- Tools for integrating and displaying data on websites or within other applications
- An enterprise data management system for managing trading and risk activities

### Investor Services

Our investor services combine advanced technology and mobile-responsive design to help you target new customers and deliver personalized services through multiple communication channels.

- A content-rich investor portal that meets the demands of digital-driven retail consumers
- Simple enrollment and account linking process
- Customizable data integration and workflows
- Configurable, easy-to-use dashboards

### Advisor and Correspondent Services

FIS gives retail advisors and correspondent brokers the tools they need to gain insight into customer interests and priorities, interact with them on a meaningful level, and tailor offerings to their needs. Key capabilities include:

- A content-rich portal that helps financial advisors engage customers and strengthen relationships

- Dashboards and alerts
- Financial planning including goal-based planning
- Automated customer onboarding and opening of new brokerage and non-brokerage accounts

### Trading

FIS provide traders with tools and connectivity enabling them to be first to new market opportunities and cost-effectively execute trades across multiple platforms, instruments and geographies.

- Integrated order, execution and risk management
- Account-based inquiry, trading and reporting
- Centralized, real-time trading and inventory management
- Real-time fixed income trading
- FICC-certified lifecycle processing for TBA mortgages

### Compliance and Risk

The FIS offering creates a culture that mitigates risk, complies with regulations and consolidates technology. We help you work across multiple asset classes, trading and clearing platforms to help you better understand your exposure, improve transparency across your enterprise, and adhere to regulations.

- T+1 compliance, suitability, account and rep risk ranking
- Regulatory reporting, best execution and analytics
- Market manipulation and insider trading detection
- Code of ethics monitoring, gifts and entertainment
- Social media monitoring - pre-approvals and post review

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Integrated  
single  
platform

Flexible  
deployment  
models

## Middle- and Back-Office Services

Our middle- and back-office solutions support multiple business lines, asset classes and currencies – on a single platform. Securities360 provides access to your data and business process automation capabilities to automate and simplify complex processes, resulting in reduced errors and complete transactional visibility. Key capabilities include:

- Real-time, multi-asset, multi-currency securities processing
- Operational dashboard that improves real-time data accessibility and accelerates insights into actions
- Business intelligence that transforms data into more meaningful widgets
- Workflow that allows for task and exception management that creates efficiencies
- Next generation UI that delivers an enhanced and more seamless user experience
- Integration with utilities, clearing banks, vendors and other FIS solution suites
- Compliance with regulatory and industry requirements

## Margin and Credit

FIS' credit management solution provides a wide array of warning and informational events, helping firms to evaluate risk and exposures. The rules-driven margin capabilities house multiple margin methods, including grid margining, portfolio margin, and complete historical online access.

## Collateral Management

FIS provides enterprise-wide collateral management and optimization driving a competitive advantage through:

- Centralized collateral management, trading and optimization

- Regulator-mandated transaction reporting
- Proactive collateral trading
- Automated cross-product collateral operations
- Compliance with OTC market reform regulations and margin processing

## Corporate Actions

FIS automates corporate actions data cleansing and standardization, creation of “golden copy” data, downstream notification and automation of response capture, as well as:

- End-to-end management of every critical step in the lifecycle
- SaaS offering providing instant access and rapid implementation
- Electronic response and notification
- Cloud-based risk dashboard
- Corporate actions data repository

## Securities Finance

FIS addresses your stock borrowing and lending, repo, synthetic finance, collateral management and prime finance technology requirements, including:

- Automated accounting and settlement processing
- Centralized, real-time securities lending, borrowing, short sale authorizations, tri-party repo and bank loan financing
- Complete repo and securities lending for fixed income and equity products
- Aggregate and detailed views of agency lending and broker principal information
- Excess collateral analysis
- Intraday market data
- Identification of mispriced borrows and loans
- Variance analysis

## Tax Services

An expert in tax services and reporting, FIS helps you deal with the increased complexity of federal and state tax requirements. Our responsive team of experts use robust tools and validation processes to complete tax filings and reports accurately and on time.

- Securities tax reporting
- Asset class services
- Fixed income cost basis
- Retirement forms on alternative investments
- Contingent payments on debt instruments
- Tax statement printing and mailing
- Operational support services

## Reconciliation

FIS provides a suite of reconciliation solutions that incorporate:

- Enterprise reconciliation
- Nostro reconciliation
- Confirmation matching
- ATM reconciliation
- Payments investigation
- Exception management
- Derivatives reconciliation
- Business intelligence and workflow

## Integration and innovation

FIS has combined integration with a user-centered design that provides a streamlined, unified user experience across the solutions and functions that make up Securities360.

In addition to our integration initiative, we're utilizing the latest technology to drive major initiatives in data and analytics, cloud and mobile enablement in order to:

- Enhance the user and customer experience
- Improve data visualization and workflow
- Leverage the power of big data
- Expand our cloud offerings
- Amplify our processing capacity
- Develop mobile and social media tools

## Flexible deployment options

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

Our global footprint and expertise allows us to run and operate your IT systems and/or business processes on your behalf. We can also work with you to customize your solution, as well as optimize and integrate Securities360 with any other third-party or proprietary software.

## Consultative, tailored approach

FIS understands that your firm has unique qualities that require keen industry, operational and technical knowledge. We combine consultative and methodological approaches to conceive, create and deliver the capabilities and services you need to optimize business results.

FIS can help you integrate your systems, evaluate your managed services options, assess outsourcing as part of your operations, and give you access to standards and best practices that drive high-quality service. We aggressively and consistently expand our services to help you reduce TCO and improve operational efficiency and quality of service.

## Enabling the adaptive enterprise

Sitting at the intersection of technology and finance, FIS is focused on delivering fresh ideas and inventive solutions to help our clients adapt and thrive in an ever-changing environment. With a blend of software solutions, cloud infrastructure, global service capabilities and deep domain expertise, FIS is capable of supporting virtually every type of financial organization, including the largest and most complex institutions in the world.

## 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 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](http://www.fisglobal.com).

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