

\_experience the commitment



# e-settlement for Carrying Broker/Dealers

## On time, on the mark Keeping Ahead of the Industry

### e-settlement advantage

Open, real-time, highly scalable architecture

Straight-Through-Processing Compliant & T+1 ready

Modular configuration options allows for customization

Integrated order management, multi-currency, full API support

Full Support for FundSERV Multiple Dealer Codes

Real Time Margin & Exposure Management

Eliminates the Requirement for many 3rd Party Solutions



### Book of record for Carrying Broker/Dealers

e-settlement's front, middle and back office functionality is uniquely positioned to support the front office Correspondent clients with sophisticated clearance, settlement and risk management tools that are incorporated in the back office.

### Organization Structure:

#### Institution

- Identify Separate Legal Entities
- Carrying IDA Broker/Dealer – Correspondent IDA Broker/Dealers

#### Business Unit

- Provides a basis on which the revenue, reporting and system access will be separated
- Associated with only one institution (could be a Branch, Division or Intermediary)

#### Employee (users)

- Defines account access and activities they are allowed to perform

#### Unique Functionality

- Supports Multiples Institutions by LOB
- Debit/Credit Interest Rates
- Foreign Exchange Rates
- Commissions, User and Management Fees
- Separable Trial Balance Reporting by LOB