

\_experience the commitment



## e-settlement for Retail 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 Retail Broker/Dealers

e-settlement's front, middle and back office functionality allows the Retail Investment Dealer to improve operating efficiency and manage client / counterparty risk in a real time manner and enhance customer service.

#### Key Highlights:

- On Demand Portfolio Evaluations
- Full Support for FundSERV Multiple Dealer Codes
- Supports tracking On and Off Book Assets, (e.g. Client Name Mutual Funds)
- Sophisticated Commissions based on channel
- Flexible Holiday Processing Capability
- Extended Transaction History
- Integrated Order Capture and Validation ("OCV")
- Embedded Report Writer Tool (Information Builders)
- True Multi-Currency Processing and Reporting, records cost in:
  - Execution Currency
  - Settlement Currency
  - Reporting Currency
- Bilingual Client Statements
- Sophisticated Entitlement Module
- EFT Module with support for:
  - PAC/SWP
  - RSP Contributions
  - Standing Orders
  - Mortgage Payments
  - RIF payment scheduling