

## PHASE3 FOR INSTITUTIONAL BROKER/DEALERS

Phase3 meets the specific needs of institutional broker-dealers with real-time securities processing and control, purchase and sales, real-time links to DTC, as well as clearance links to Chase, BONY and Deutsche BT.

The link to DTC eliminates the need to re-key information into external terminals, and eliminates the delays of batch processing. This helps to reduce errors and time, and to increase efficiency.

Used to capture executed trades, Phase3's realtime engine enhances straight-through processing from order entry to clearance and settlement without interruption.

### ***Phase3 provides the following features and advantages for the institutional brokerdealer:***

- Single database for multiple products and multiple currencies - equities, fixed income, mutual funds, and options
- Integration with BRASS, Loanet, and the SunGard Transaction Network (STN)
- Link to Omgeo with trade status monitoring
- Real-time trade match with FICC
- Ability to route orders to different locations
- Real-time database updates of all of your positions, books and records
- Real-time purchase and sales (P&S)
- Links to clearing houses, custodians, depositories and banks
- Real-time interface to DTC
- Real-time link to Chase, BONY and Deutsche BT for clearing Fed-eligible securities
- Prime brokerage functionality including auto affirmation
- Alert and Omgeo interface
- Sweep processing
- Real-time P&L for inventory accounts

### ***Overview of Phase3 for Institutional Broker/Dealers***

Phase3 is a real-time order-to-settlement securities processing system for broker-dealers, ECNs, and correspondent clearing firms. Delivered in an ASP environment, Phase3 helps reduce manual tasks, delays and errors, helping your firm to handle increasing volumes and support business growth. Phase3 streamlines sales efforts, helps simplify operations, and provides up-to-date information for rapid, reliable decision-making.

Among Phase3's key advantages is its ability to process all security types and currencies – dollar and non-dollar equities, fixed income, mutual funds, annuities, and more – on a single platform for consolidated books and records, thereby helping to eliminate the delays of downloading and reconciling results between separate systems. Phase3 automates every step in the trading lifecycle seamlessly without the need for manual intervention.

## PHASE3 FEATURES AND BENEFITS:

- Real-time architecture, API, and replication for STP and ease of integration
- Single platform for all investment products
- Handles high volumes and all levels of business continuity
- Sophisticated, real-time edits to ensure accurate orders and risk mitigation

## NEED MORE INFORMATION?

Contact your sales representative at +1-800-825-2518 or visit us at <http://www.sungard.com/phase3>.

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