

## AN INTEGRATED SOLUTION FOR RETAIL FIRMS

In today's economy, retail firms need to maximize efficiency and productivity, closely manage risk, and control costs. At the same time, regulatory scrutiny is at a heightened level, making compliance a top priority.

The right solutions can be a key factor in achieving those goals and gaining a competitive edge. However, implementing straight-through processing is also critical if firms want to maximize their use of technology.

SunGard's integrated solution for retail firms helps improve how you operate from the front to the back office. SunGard offers tools to consolidate securities processing, streamline operations, manage risk across the enterprise, improve access to information across your organization, and develop new business opportunities.

SunGard helps you:

- » Improve client relations by providing the information and services that your clients need quickly and securely
- » Control costs by reducing manual processes and increasing automation
- » Increase efficiency through consolidation and the use of advanced technologies
- » Improve your risk management capabilities and controls
- » Provide continuity through a more consistent business process
- » Achieve compliance with federal and state regulations

By implementing straight-through processing, you can help improve efficiencies, reduce costs and ultimately boost your bottom line. SunGard's streamlined front-to-back solution is fully customizable to meet your specific requirements and help you achieve your business goals.

## STRENGTHENING CUSTOMER RELATIONSHIPS

Delivered through a Web-based interface, SunGard's WealthStation solution provides a modular, flexible front-office platform. WealthStation integrates with SunGard's Phase3 offering for client management, investment management, asset allocation, data aggregation, trading, rebalancing, reporting, financial planning and client access and compliance. This integration helps you quickly take advantage of the power of a straight-through, front-to-back-office solution, and it allows brokers and operations staff to see the exact same information every minute of the day.

## INCREASING EFFICIENCY

Phase3 helps improve efficiencies by processing all security types and currencies on a single platform for consolidated books and records, thereby helping to eliminate the delays of reconciling results between separate systems. Phase3 automates every step in the trading lifecycle seamlessly, without the need for manual intervention.

A new module, Phase3 Workflow, automates traditionally manual decision-making processes and manual back-office transaction processing. With Phase3 Workflow, firms can capture, validate, process, archive and deliver ACAT and non-ACAT transactional information seamlessly across all operational areas, including the front, middle, and back office.

## AUTOMATING COMPLIANCE AND SUPERVISION

SunGard's Protegent solutions for compliance and surveillance work seamlessly with WealthStation and Phase3 for a complete front-to-back platform. The Protegent solutions can handle trading compliance, employee and broker surveillance, and "know your customer" requirements.

## **MANAGING MARGIN AND CREDIT RISK**

SunGard can also help improve how you manage margin and credit risk. Stream Margin Advisor offers a single, comprehensive margin calculation service that you can use throughout your portfolio and across the enterprise, including real-time alerts on client accounts and event generation for automated follow-through. Stream Margin Advisor supports risk-based portfolio margining and provides an accurate view of complex risk offsetting iterations. It also computes Regulation T margin requirements.

## **IMPROVING CUSTOMER SERVICE THROUGH THE INTERNET**

Automation is key to straight-through processing, and Stream Portal can help you use advanced technology to reduce the costs and administration involved in delivering documents to customers.

A secure, online solution, Stream Portal provides permissioned users with access to documents of any description via the Internet. Information can be uploaded to Stream Portal in real time or overnight, significantly speeding up existing delivery processes and reducing printing and mailing costs while ensuring security.

## **CONSOLIDATING TAX REPORTING**

Stream Portal works seamlessly with Phase3, as does Compliance Plus, SunGard's tax reporting service. Compliance Plus helps you comply with all federal and state requirements and provides a transparent and Web-based way to manage all facets of the tax reporting process – across multiple sources – as well as a correction management system for account and bulk adjustments. Compliance Plus produces print-ready individual files for reporting and supports commercially available tax preparation software.

## **MAKE SUNGARD'S STRENGTH WORK FOR YOU**

SunGard's front-to-back solution for retail firms can help you increase efficiencies, control costs, improve customer service and ensure compliance.

## **NEED MORE INFORMATION?**

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