

The top of the page features a header with a grid pattern on the left, the SunGard logo in white on a black background, and the title 'OMNI TRADE AND RECONCILIATION' in white on a blue background. To the right of the title are several vertical bars in various colors (red, orange, blue, green, purple).

SUNGARD OMNI TRADE AND RECONCILIATION

SunGard's Omni Trade and Reconciliation solution brings multiple systems together to create a single, Web-based, electronic platform for recordkeeping, trading, risk management and reconciliation. Its integrated processing model combines and connects transaction lifecycle systems to help reduce your processing costs. Omni is designed to help eliminate complicated manual processes that are sometimes associated with trading and reconciling. By linking and automating your various support processes, Omni helps you focus on your clients and their needs instead.

ENABLES ELECTRONIC TRADING AND ORDER MANAGEMENT

Available as an integrated solution or as an individual offering, the Omni Trade and Reconciliation solution links to other systems and services, resulting in a comprehensive tool for electronic trading of assets. As an integrated solution, Omni Defined Contribution (DC) and the SunGard Global Network (SGN) applications are fully supported. As an individual offering, its standard interfaces allow Omni to work seamlessly with other recordkeeping platforms and trading partners.

You can capture daily recordkeeping trade activities that interface with SGN and other trading partners to automate the trading process. Omni creates and tracks trade orders in progress, and stores historical trade information for management and audit reporting. Omni also provides flexible trading options so you can customize the system to help meet specific business requirements.

With Omni, you gain a single point of daily access to position accounts, representing data from multiple sources (recordkeeping, trust, trading partners and accounting systems). This capability helps you quickly identify and resolve problems that may arise. It also helps you manage positions and their associated risks effectively in real-time.

Because of the tight integration of SunGard's Omni Trade and Reconciliation and Omni Defined Contribution solutions, you gain the benefit of automated exception processing. Any adjustments, backdated activity or reversed transactions you perform also adjust trade amounts, helping compensate for any administrative gains or losses. Omni Trade and Reconciliation helps reduce your need for manual input, which helps increase operational efficiency. Plus, Omni helps you identify patterns and trends by providing summary information based on historical information.

Web-Based Accessibility Benefits

Because it is a server-installed, Web-based solution, you can access SunGard's Omni Trade and Reconciliation via a browser from any PC. Omni Trade and Reconciliation delivers:

- Permission-based access through a proven security system
- Easy installation, deployment and maintenance
- Business continuity – if hardware goes down, work can continue from another PC
- Secure data backup

RECONCILIATION HELPS REDUCE EXPOSURE

Omni Trade and Reconciliation automatically receives positions, activity and dividend information from Omni's Defined Contribution recordkeeping system, SGN and up to three additional sources. Omni helps alleviate many of the manual processes currently required to estimate revenue and to reconcile revenue (received from trading partners) to expected revenue. The system's reconciliation features allow you to:

- Utilize basic formulas for basis points paid, frequency of the payment (monthly, quarterly, etc.), and amount of the fee retained (1005, 95%, etc.)
- Customize fee calculations
- Leverage information available in position accounts
- Determine average daily balance, using the actual broker position stored in the position account
- Reconcile estimated to actual revenue
- Calculate up to five different fee types and breakpoints for each fee type
- Identify variances automatically
- Create custom reports

PERFORMS AUTOMATED DIVIDENDS PROCESSING

Omni allows you to use SGN or any other standard earnings interface file to create Omni Defined Contribution equity dividends and daily accrual transactions automatically. Omni DC transaction settings are customizable, and the transaction themselves are created at a plan level with propagation options. The propagation capability helps assure that earnings are updated for plans with fund balances when the transactions are processed.

SUPPORTS 22C-2 REPORTING

Omni provides an automated solution for complying with the SEC Rule 22c-2, which was established to help identify and prevent market-timing abuses. Several options are available to help you respond to fund company requests for both historical and detailed trade activity. Omni can store participant-level information and respond to requests, or the system simply can interface with SGN 22c-2 services.

Management Tools that Perform

Omni Trade and Reconciliation delivers management tools and reporting features that help ensure timely balanced workloads and reconciled plans. With Omni, you can:

- Assign analysts to reconcile a specific plan, a specific security or a security within a plan
- Limit access permissions, so analysts can view only the work specifically assigned to them
- Provide an age filter for reconciling items, allowing data to be displayed by age (i.e., view all reconciling)
- Simplify creation of custom reports, spreadsheets and interface files, using a report wizard