

ASSESSMENT AND REMEDIATION SERVICES FOR DODD-FRANK REGULATIONS

Increased regulatory action has forced additional responsibility on today's compliance teams. The Dodd-Frank Wall Street Reform and Consumer Protection Act (Dodd-Frank) regulations will lead to assessment and remediation in diverse areas such as credit management, margin maintenance, trade monitoring and intraday reporting. There is a broad spectrum of response to the current legislation, due to uncertainty and lack of clarity in the regulation. Some companies are being proactive in their approach and others are taking a 'wait and see' attitude until the regulation is further defined and clarified. SunGard Global Services can help you assess the probable business impacts to your organization and develop a compliance profile to prioritize key issues.

TODAY'S COMPLIANCE

An increasing number of companies are focusing on financial regulation and ensuring they have proper controls in place to comply with regulations and manage their own risk. At SunGard, we can help you develop approaches to enhancing your current compliance culture.

ASSESS YOUR SITUATION

Initiate a proactive business response

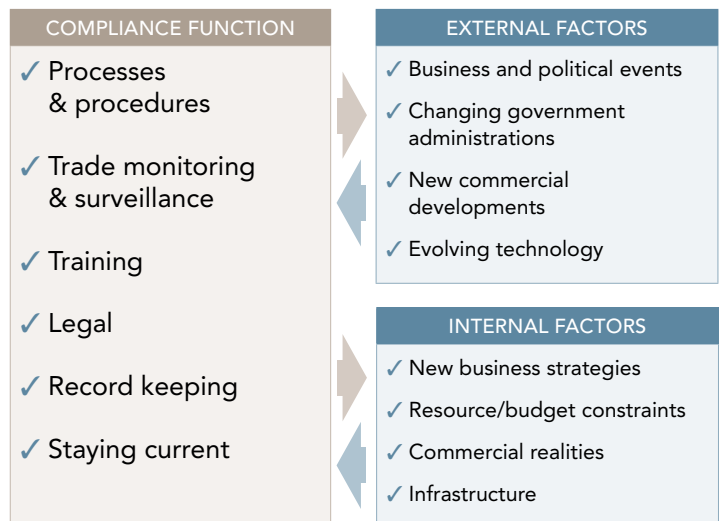
- Focus Dodd-Frank regulations on your situation (compliance index)
- Review your current business & IT strategy and organization
- Review strategic goals and controls to adhere to Dodd-Frank
- Develop workshops for your executives and staff

Perform a GAP assessment of your current situation

- Analyze your current business & IT processes and business structure
- Evaluate the readiness of your business & IT processes for compliance with new rules
- Assess rules for governance and compliance
- Review the technology support for required data, interfaces and reporting

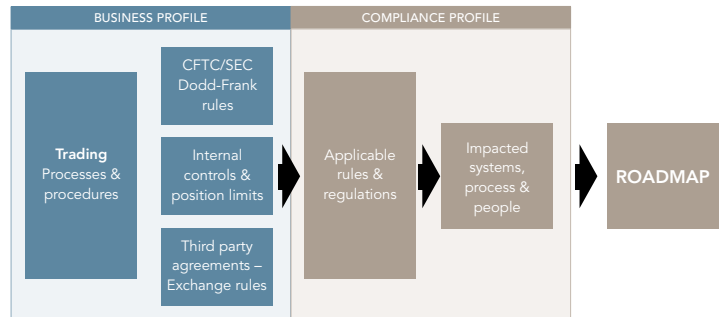
Prepare a targeted roadmap

- Prioritize business & system impacts based on identified regulations
- Address technology, process and organization (implementation strategy)
- Coordinate the change management process (both business & IT)
- Move forward with high priority impacts
- Determine estimated duration & costs to implement



DODD-FRANK ASSESSMENT

The methodology we use, involves developing a compliance profile for your organization. We do this by reviewing the external regulations in place, and by examining your current internal controls and legal agreements with exchanges and other entities. We filter how your business operates, how frequently you trade in a given trade type or exchange, and assess your overall market share. We then help you develop a set of probabilities to prioritize the results of your assessment and plans in developing your eventual roadmap.



IMPLEMENTATION

Program management

- Plan the implementation required to support your operations and mitigate risks
- Manage and report on your progress
- Provide cost, timeline & resource management

Business services

- Architect and design system and process changes
- Prepare required design and operations documentation and manuals
- Develop & execute implementation approach

Technology related services

- Architect and enhance current information management practices
- Implement new calculation tools
- Develop and implement integration strategies and interfaces
- Develop reporting and business intelligence tools
- Develop dashboard for compliance monitoring and alerts
- Provide data analytics and surveillance capability

WHAT WE OFFER

SunGard's assessment and remediation services have been designed to assess the impact of Dodd-Frank on your organization. We provide program management and business consulting services experts, to help you create a roadmap and decide the path forward. It may involve analyzing your current environment, understanding the potential impacts of regulations, defining the implementation approach and executing it. SunGard can help you increase transparency, improve efficiency and successfully navigate financial regulations.

About SunGard Global Services

SunGard Global Services combines business consulting, technology and professional services for financial services firms, energy companies and corporations. Leveraging SunGard's global delivery model, more than 5,000 employees worldwide help customers manage their complex data needs, optimize end-to-end business processes and assist with systems integration, while providing full application development, maintenance, testing and support services.

For more information or examples of how we are helping our customers navigate financial regulations today, please contact us at: globalservices@sungard.com



For more information visit:
www.sungard.com/globalservices