

GAIN Data Management White Paper

# GAIN Event Diary

# VDF based diary of corporate actions

Olivier Trine

**AIM Software provides a new web based Event Diary System as an extension to its flagship middleware GAIN Data Management which offers a simplified tracking of corporate actions announcements. This new solution offering supports corporate actions teams in monitoring and analyzing incoming events and in assessing custodian information in case of missing or suspect data. Its web based character minimizes the implementation effort. The system can be flexibly embedded into GAIN Golden Copy as well as in other applications and provides a user friendly comprehensive analysis tool for corporate actions, pricing and static data departments.**

- Extension of the GAIN platform with a VDF based diary of corporate actions announcements
- Filtering of announcements pertaining to the positions of the customer
- Improved tracking of corporate actions data
- Increased transparency of corporate actions workflows

## Avoid missing Corporate Actions

Corporate actions are seen as the least automated and therefore most labour-intensive, error- and risk-prone areas in data processing within financial institutions. Given the high demand of AIM Software's large client base for an enhanced processing of corporate actions, AIM Software developed a web based extension module, the GAIN Event Diary System that can be flexibly added to a client's existing GAIN solution or may be used as a standalone solution.

## Challenges of Corporate Actions Handling

The increasing amount of types and complexity of corporate actions requires a transparent tracking of the corporate actions data received. GAIN Event Diary addresses these issues by supporting the monitoring and logging of changes and by providing individual search and filter functions in order to support investigations in case of complex announcements and decision taking.

## Improved Usability and Monitoring

GAIN Event Diary offers the user a comprehensive search facility for corporate action announcements including relevant event specific information about issuer, country

and asset data. User friendly features such as grouping, sorting and filtering by several fields e.g. dates, instrument activity status, currency, completeness status of delivery etc. increase the transparency of the corporate actions workflows and help to track and eliminate costly processing and timing errors or insufficient data deliveries from custodians.

**“The main challenge in corporate actions processing is the large variety of event types. The associated costs which may arise due to miscommunication or disregarded information can have a big financial impact because of wrong decisions taken on the basis of incorrect data. Our new module aims at supporting end users to better track corporate actions by providing them a comprehensive and easily manageable tool for their daily work.”**

Olivier Trine,  
Domain Manager Corporate Actions  
AIM Software

**GAIN Event Diary**

Identifiers: Valor #, ISIN, GKey  
 Names: %Instr. short name%, %Instr. full name%, %Company name%  
 Message: Message number, Message name, Message status  
 Basic data: Instrument category, Nominal currency, Issuer sector, Issuer country  
 Technical data: Message type, File ID, Last mutation, File date  
 Dates: Date type, From, To

Tracking	Valor	ISIN	GKey	Instrument short name	Issuer short name	Msg. number	Msg. name	Msg. status	Last mutation date	Ex date	Effective date	Maturity date
<input type="checkbox"/>	<a href="#">10004914</a>	ZA E000132577	<a href="#">470327</a>	Vodacom Group	Vodacom Group Limited	<a href="#">230</a>	Cash distribution	Complete	07.11.2011	28.11.2011		
<input type="checkbox"/>	<a href="#">10018774</a>	XD 0100187745	<a href="#">423112</a>	White Oak B/USD/RE	White Oak Strategic Fund Ltd	<a href="#">110</a>	Institution basic data	Complete	11.01.2011			
<input type="checkbox"/>	<a href="#">10018977</a>	XD 0100189774	<a href="#">324034</a>	Quan Gbl B-NV3X0406	Quantitative Global 3X Fund Ltd	<a href="#">110</a>	Institution basic data	Complete	30.08.2011			
<input type="checkbox"/>	<a href="#">10030118</a>	US 4655621062	<a href="#">184218</a>	Itau Unibanc Sp ADR	Itau Unibanco Holding SA	<a href="#">230</a>	Cash distribution	Uncomplete	04.11.2011	01.11.2011		
<input type="checkbox"/>	<a href="#">10030118</a>	US 4655621062	<a href="#">184218</a>	Itau Unibanc Sp ADR	Itau Unibanco Holding SA	<a href="#">297</a>	Taxes	Complete	04.11.2011			
<input type="checkbox"/>	<a href="#">10031897</a>	US 3021668Q41	<a href="#">665975</a>	2.375 EDC 12	Export Development Canada	<a href="#">131</a>	Rating of institutions	Complete	28.10.2011			
<input type="checkbox"/>	<a href="#">10037779</a>	XS 0418570130	<a href="#">368432</a>	4 Unilever 14	Unilever PLC	<a href="#">278</a>	Interest	Complete	07.11.2011			
<input type="checkbox"/>	<a href="#">10037779</a>	XS 0418570130	<a href="#">368432</a>	4 Unilever 14	Unilever PLC	<a href="#">116</a>	Paying agents	Complete	10.11.2011			
<input type="checkbox"/>	<a href="#">10046828</a>	XD 0100468285	<a href="#">471496</a>	Liquidity Veh EUR	Liquidity Vehicle Ltd	<a href="#">110</a>	Institution basic data	Complete	17.03.2009			
<input type="checkbox"/>	<a href="#">10048226</a>	US 717081C240	<a href="#">894238</a>	4.45 Pfizer 12 SrN	Pfizer Inc	<a href="#">387</a>	Premature redemption	Complete	08.11.2011			08.12.2011

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### Create your own Watchlists

A watchlist feature of GAIN Event Diary offers a detailed delivery tracking system addressing the various corporate action event types. The user can set a watchlist dependent on various attributes such as asset type, market, country, etc. Individually configurable watchlists address the needs of different users and departments by simplifying the comparison between several sources.

### Rollout without installation – Web Based

GAIN Event Diary is designed for fast implementation to help customers achieve a fast time to market. It acts as a seamless extension of the GAIN platform, AIM Software's flagship solution which aims at cutting costs and risks associated with data management. The GAIN Event Diary can also be obtained in SaaS mode.

“Our GAIN Event Diary underlines AIM Software's commitment to offer best practice solutions that are aligned with market needs. We are looking forward to offer further functions to companies which intend to improve their corporate actions processing,” Olivier Trine concludes.

### Complete Integration with GAIN Golden Copy Data

All data types are connected via hyperlinks enabling the user to analyze an event in depth by having direct access to other data areas. These features support an easier and quicker processing. In addition the flexibility of this module offers the user direct access from various target applications. The portal also supports an export functionality of reports in PDF, Word, Excel and XML format.

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## GAIN Event Diary

### Main Features

- Web based Corporate Actions Diary
- Out-of-the-box workflow management and reporting
- Dedicated Telekurs VDF edition
- Direct access to other data areas (e.g. Market Data, Basic Data)
- Recognition and detailed view of mutations/updates
- Message history for each event

### Easy Configuration

- Easy linking to web portal directly from other applications
- Watchlists with individual filter functionality
- Individual notification rules according to dates e.g. 3 days before Ex Date
- Search and filter tools
- Tracking of already used and closed reports