

Asset Servicing Solutions: Efficient Data Management Operations Stay Ahead of Operational and Regulatory Challenges

The world's leading asset servicing, fund administration and global custody firms rely every day on AIM Software's GAIN to support their business-critical data operations. GAIN's targeted Business Applications help asset servicing firms reduce their operational workload and ease the compliance burden. At the same time, GAIN enables more Business Agility and competitive client services while leveraging existing systems.

The rapidly changing regulatory landscape, coupled with economic headwinds and evolving technologies, force asset servicing providers to reevaluate strategies and to make permanent changes to their business models. Cost and efficiency initiatives are underway. In particular:

- Operational challenges of shortened settlement cycles (T+2) – reduced time to on-board new positions or to verify corporate actions announcements.
- More frequent NAV calculations – increasing workloads in portfolio pricing.
- Responding to regulatory data requests across the silos that traditionally divide businesses, functions and regions.
- Meeting new sophisticated client needs with tailor-made data services.
- Optimized data costs and consumption.

Compliance burdens increase permanently, particularly for globally operating firms. Data governance is now a top priority as reporting obligations start to take effect.

As the triple challenge of regulatory risk, operational efficiency, and competition meets ageing internal systems, it provides firms with opportunities to capitalize on new capabilities.

PREFERRED SUPPLIER OF THE ASSET SERVICING COMMUNITY

AIM Software is an award-winning and independent provider of best-in-class data management software applications targeting exclusively the needs of the buy-side community – in particular the Fund Administration, Custody and Securities Services communities.

AIM Software has more than 90 clients worldwide, including asset servicing firms of all sizes such as BNY Mellon, RBC Investor Services, Deutsche Börse's Clearstream, Pictet, EFA, and Kas Bank.

TAILORED APPLICATIONS FOR ASSET SERVICING CHALLENGES

AIM Software's main Business Applications – Security Master, Portfolio Pricing, Corporate Actions DM and Entity Master – support all core data operations, fully integrated in a business suite, GAIN.

The Business Applications are packaged, purpose-built sets of business functions,

WHAT MAKES GAIN UNIQUE?

- Purpose-built business applications that can be implemented quickly
- Solutions that can be configured to support both large global asset servicing firms and smaller organizations (examples below)
- Adapters to popular core banking systems: NeoXam GP3, SunGard Invest One, SimCorp Dimension etc.

aimed at improving discrete business processes, underpinned by strong data management capabilities. They include end user workflows and real-time dashboards, allowing business users to configure the application as the business changes and grows without having to rely on IT staff.

Finally, GAIN was especially designed to meet the particular challenges of high volumes, a variety of requirements (per clients or portfolios), transparency and responsiveness pertaining to the Asset Servicing Community.

BUSINESS OUTCOMES

Choosing GAIN means: (I) Firm-wide, high-quality, consistent data, (II) Lower operational risk, (III) Lower operating costs, and (IV) an agile, adaptable business, more able to respond to changes in upcoming business and regulatory demands.

Efficient operations



- Designed to meet the operational challenges of the Asset Servicing community
- High level of automation
- Real-time dashboards
- Controlled data consumption and data costs

Flexible client service



- Intuitive workflows enabling business end users to parameterize the system without requiring IT skills
- Flexible parameterization and configuration – per client and portfolio

Comprehensive compliance



- Centralized data management, with support for all global regions
- End-to-end transparency through business audit trail
- Version control of data policies with a timeline of changes on the system parameterization

Lower risk, faster ROI

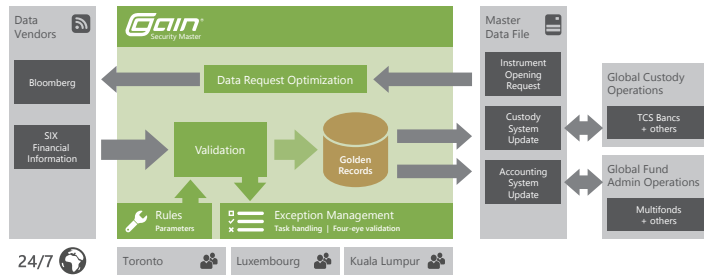


- Fast projects through ready-to-use business applications
- Fixed-price standard implementation packages
- Agile project methodology
- Supported interfaces to SimCorp Dimension, SunGard InvestOne, NeoXam GP3 etc.

Group-wide data management at RBC Investor & Treasury Services

Being one of the top 10 global custodians, RBC Investor & Treasury Services needs a robust and reliable solution for instrument openings to support both their custody and fund accounting business lines. In 2011, GAIN Security Master was chosen in an RFI process, because of its proven ability to handle complex multi-tenancy set-ups, to process large volumes of data and its track record and reputation built over more than 10 years at that time.

GAIN Security Master provides a flexible solution that uses reference data from SIX Financial Information and Bloomberg to create a golden copy from new instrument data and to hand over the new instruments to RBC's Master Data File system. This allows RBC to scale their business to new services.



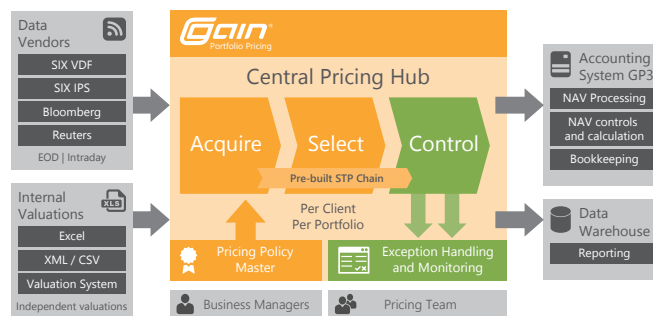
GAIN Security Master

- Central data management platform
- High STP for instrument opening and handling of daily updates
- Standard connectors include Bloomberg, SIX Financial Information, IDC
- Supported interfaces to many core banking systems

Centralized pricing operations at European Fund Administration (EFA)

The daily pricing operations of fund servicing organizations are heavily challenged. As a result, they need to do more with less. EFA was looking to improve daily operations across all portfolios, as well as to offer tailored NAV calculations as a key differentiator.

GAIN Portfolio Pricing acts as a central pricing application that manages pricing policies, supports price governance, and applies advanced validations. Manual exceptions are significantly reduced while quality controls are improved. EFA now offers tailor-made NAV calculation services with highest accessibility and data transparency.



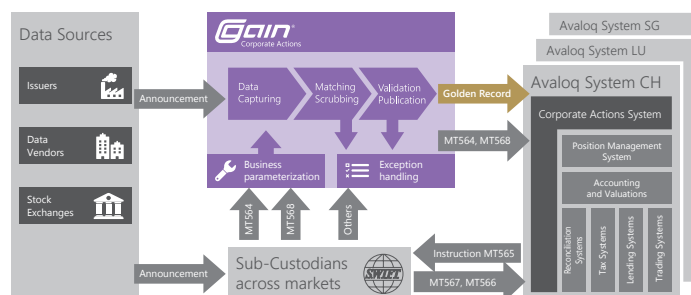
GAIN Portfolio Pricing

- Central pricing application
- Ready for testing in 3 months
- More efficient business operation
- Improved levels of client service
- An infrastructure able to support the business strategy

Corporate actions data under control at Pictet & Cie.

With USD 466 billion assets under custody, Pictet is one of the premier asset managers and global custody specialists in Europe. To face the increasing volumes and complexity of corporate actions, the global custodian needed to automate the validation of corporate actions announcement data. Pictet has chosen GAIN Corporate Actions DM from AIM Software to automate this crucial step acting as a global data hub supporting operations in Switzerland, Luxembourg, Singapore etc.

GAIN acts as an extension to the existing custody system. The corporate actions are gathered, channelled, analyzed and prioritized in real time with minimum manual intervention; this ensures that the most critical corporate actions data is processed first. High volume events are automated, while the higher quality of data and the deadline-driven processing reduces operational errors drastically.



GAIN Corporate Actions DM

- Increased STP rate (80-90% for high volume events)
- Higher staff productivity (volumes and peaks)
- Improved client service: Higher data quality
- Automation of tax events for a range of countries including UK, Austria and Germany

AIM Software is the leading provider of business applications for data management to the financial services industry. Solutions include software for reference data management, financial instrument pricing, corporate actions and entity data. With more than 110 client references, and offices in Switzerland, Austria, Luxembourg, France, the UK and the US, AIM operates globally and offers low risk all-in-one software packages, based on its industry-proven data management platform GAIN.

For further information please visit www.aimsoftware.com.

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