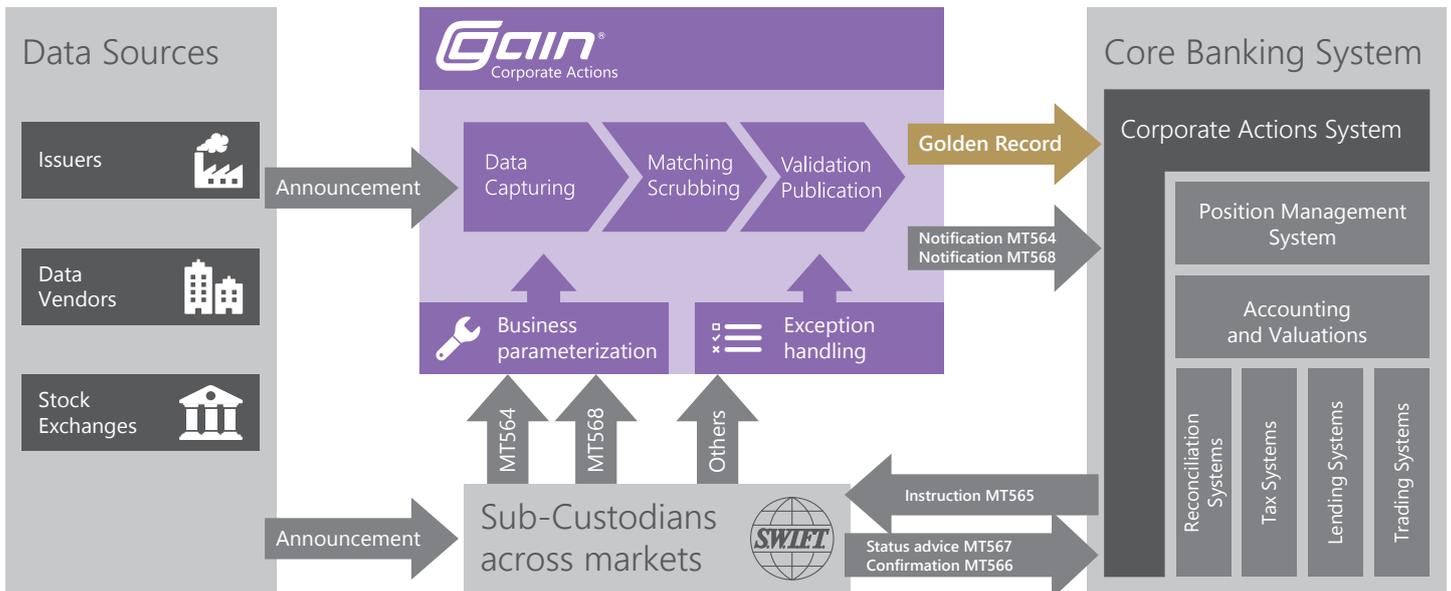**AIM**
Advanced Information Management

GAIN Corporate Actions
Data management on a new level

GAIN Corporate Actions DM is a purpose-built business application designed for use by financial institutions that manage and service assets such as Wealth Management / Private Banking, Custodians, Fund Accounting and Fund Managers.

GAIN Corporate Actions DM protects back office professionals from the highly manual process of data collection, as it captures and processes the relevant information from the available sources automatically. The corporate actions are gathered, channelled, analyzed and prioritized in real time; this ensures that the most critical corporate actions data is identified and processed first.

Inside Reference Data | Awards
2016

Best Corporate Actions
Data Initiative (Vendor)

AIM Software   WINNER

Capture Event Data	Matching Scrubbing	Validate Event Data	Notify Investors	Manage Instructions	Calculate Entitlements	Generate Transactions	Reconcile Payments	Handle Tax Reclaim

Data Sources

Issuers

Data Vendors

Stock Exchanges

GAIN Corporate Actions

Data Capturing → Matching Scrubbing → Validation Publication

Business parameterization

Exception handling

Announcement →

Announcement →

MT564   MT568   Others

Sub-Custodians across markets

SWIFT

Golden Record

Notification MT564
Notification MT568

Core Banking System

Corporate Actions System

Position Management System

Accounting and Valuations

Reconciliation Systems | Tax Systems | Lending Systems | Trading Systems

Instruction MT565

Status advice MT567
Confirmation MT566

Efficient business operations

- High STP rate without quality compromises
- Scalable: Handle more events with the same resources
- Operational efficiency based on prioritized event handling
- Flexible priority-based task management

Regulation, audit, control

- Higher transparency: Audit trails of user activities and data processing
- Fast accommodation of changes or data updates
- Activities monitoring
- Standard processes across disparate groups

High client service standard

- Proactive management and client support
- Timely information to internal support staff or client managers
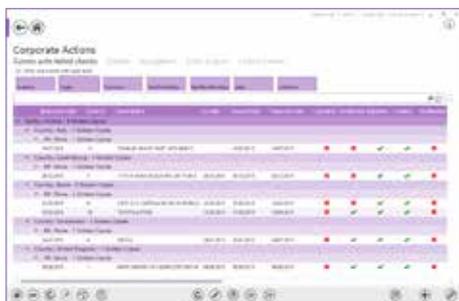- Accurate information and well-grounded decision-making

Improved quality

- Consistent data processing across the whole institution or group
- Predictable data outcome across whole organization
- Firm-wide benefit for groups receiving corporate actions outputs

Corporate actions data under control

AIM Software has created GAIN Corporate Actions DM for corporate actions teams consisting of operations staff, subject matter experts, and business operations managers. This business application addresses the need for higher levels of automation to absorb the ever-increasing volume and complexity of events and the inconsistency in the underlying data.

GAIN Corporate Actions DM has been carefully designed for being non-invasive and non-disruptive in order to protect the investments made in the existing back office systems. It automates the labour-intensive and error-prone handling of incoming events and provides a structured business view on complex corporate actions announcements.

The dashboard

FULLY BUSINESS USER-CENTRED

The business application supports Corporate Action teams in boosting STP levels and applying changes in the STP flow without help from the internal IT. The system provides a central point of control, quality, and transparency for corporate actions handling.

GAIN Corporate Actions DM supports the automated validation of custodian SWIFT announcements with other sources (such as data vendors or other custodians). It creates a "golden" record for the event based on multiple sources and per market, before releasing it for further processing.

DATA VENDOR INTEGRATION

GAIN Corporate Actions DM acts as a central place for corporate actions information with a high integration to multiple global data vendors such as

Bloomberg, SIX, IDC, EDI or WM Daten. This ensures that all data purchased is used and processed efficiently.

POWERED BY GAIN EDM STUDIO

In addition to the custodian and data feed sources, AIM Software provides GAIN EDM Studio. This module lets business users create and integrate their in-house feeds and processes easily and to quickly adopt new additional data sources whenever necessary without IT specialists' help.

FULL CONTROL BY BUSINESS OPERATIONS

Business operations managers get the unique ability to accommodate and control the handling of corporate actions. The comprehensive dashboard, monitoring, and parameterization screens support:

- changing source trust levels per custodian or data vendor;

- applying various task and priority rules with respect to a regulatory change;

- adapting business rules per corporate action event group.

Publication configuration

AUTOMATED TASK RESOLVING

GAIN Corporate Actions DM provides a rich set of validation checks. These range from standard checks, e.g. if all mandatory data is provided, to specific matching rules amongst two or more sources to capture, link and compare information about the same event. All checks are designed to improve the overall data quality and to reduce manual intervention.

The system can solve data conflicts and exceptions automatically through continuously receiving data updates from the sources, retriggering the matching, scrubbing and validation processes and closing the tasks once the correct relevant information arrives.

Event details screen (in edit mode)

DATA QUALITY EVALUATION

The innovative design of the multi-source support enables corporate actions managers to track and view the quality of every single data source they use.

The GAIN Data Browser application enables corporate actions teams to clearly identify the most urgent tasks. Business users can determine the priority based on parameters such as ex date, effective date, event deadlines, impact on the NAV, or changes in instrument or institution data.

Finally, the system includes an advanced auditing view, allowing the management detailed insights into daily activities across the whole process to identify bottlenecks and report on overall STP rates, data operations productivity, and other KPIs.

Beyond EDM

AIM
Advanced Information Management