

FFASTFILL SAM
MARKET LEADING STOCKBROKING SETTLEMENT



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Market leading stockbroking settlement processing assets such as equities, gilts, bonds, FX and unit trusts

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SAM enables highly efficient middle and back-office processing for domestic and international securities transactions.

SAM is set apart from other systems by the quality and breadth of the stock and cash accounting, the audit controls, the variety and flexibility of reporting and the ease of communication with external systems. These fundamental attributes provide many benefits including; low levels of manual intervention, reduced cost in the settlement process, the ease with which operational risk requirements can be satisfied and the speed with

which SAM can be enhanced to support new functions. Designed to be used by any firm that trades, settles or maintains securities, including equities, gilts, bonds, unit trusts, exchange traded options and futures, SAM is suitable whether as principal or on behalf of customers. Users of SAM include retail stockbrokers, institutional stockbrokers, internet stockbrokers, market makers, custodians, banks and niche players.

COMPREHENSIVE, ACCREDITED PLATFORM FOR BACK OFFICE SETTLEMENT & ADMINISTRATION

- ▶ Designed to process electronic STP settlement and custody transactions on both domestic and international markets
- ▶ Unique control of STP processing based around three separate and independent controls;
 - o STP Alerts
 - o Exception Reports
 - o Financial Accounting
- ▶ Double entry for stock – an accurate model of the business
- ▶ Multiple ledgers
 - o In house cash - settlement cash sums maintained on behalf of clients. Cash shown as part of investor’s portfolio and on relevant queries is offset by settlement considerations outstanding. Ledger may contain credit balances multiple currencies for each investor
 - o Cash Deposit - cash deposits maintained by the firm on behalf of investors
 - o Cash Ledger - contains a number of cashbooks. Each represents an individual Bank Account into which, and from which, payments are made
 - o Online archive functionality
 - o Investor Settlement Ledger - model the assets and liabilities of the firm with respect to clients’ settleable trading activity
 - o Online historic valuations using historic positions and prices
 - o Comprehensive Regulatory Reporting Reports including Client Money Requirements, Counterparty Reporting Requirements and Large Exposure Reporting Requirements Full ISA Functionality
- ▶ Real Time Transaction Processing and Settlement
- ▶ Stock Lending, including automatic revaluation processing
- ▶ Production Communications to International Markets, Settlement Agents, Custodians and other Counterparties
- ▶ Trial balance showing the location of a stock (or currency) throughout the firm, and the firm’s position
- ▶ Quickly assess exposure in respect of the aggregate of all instruments held by/ for and due to/from clients, market counterparties, depots etc.
- ▶ Corporate actions easily executed with full control over the process.
- ▶ Unlimited hierarchy of sub accounts allows multiple concentrations of risk
- ▶ Sophisticated user defined Financial Statement
- ▶ Able to show the location and quantity of stocks outstanding for delivery to/from market or clients
- ▶ Crest, Swift and Oasys interfaces
 - o Automating matching, settlement, custody & reconciliation for CREST
 - o Full set of operational, management, accounting, compliance & reporting functions

Charges and References	
Quantity	50
Price Per One	GBP ? 2.456
Clean Consid.	1,228.3
Comm. Rate	1.2
Client Comm.	15.0

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