

IBM AND SUNGARD: DELIVERING INNOVATIVE, INTEGRATED SOLUTIONS FOR THE FINANCIAL SERVICES INDUSTRY



CROSSING PLATFORMS



we know

they know

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Meet your challenges head on.

Improve operational efficiency, manage risk, reduce costs and meet regulatory requirements—these are all top-priority items on today's financial institutions' to-do lists. Integrating new applications into current systems to automate processes can help organizations achieve these goals, but the process can be complicated and costly, especially in a heterogeneous information technology (IT) environment.

While securities processing firms are focusing on their primary business objectives, important industry trends are causing them to simultaneously tackle several new challenges, including:

- Keeping up with the fast pace of change and growing transaction volumes
- Improving inadequate processing and operational infrastructures
- Accommodating globalization by enabling cross-border trades
- Addressing risk management by consolidating positions, cash and orders, as well as integrating realtime market data
- Dealing effectively with regulatory changes.

This last challenge includes the industrywide initiative to implement straight through processing (STP), which ensures the automation of securities processing systems. With ever-increasing trading volumes and intensifying competition, improving efficiency by streamlining and automating the flow of information through all stages of the trading cycle is essential. Yet successful implementation of STP requires integrating new functionality into existing environments, plus building an infrastructure that will support continuous processing capabilities now and in the future.

In many cases, financial institutions must rely on systems integrators and industry application providers to implement new or improved functionality into their existing environments. For most companies, however, managing multiple vendors is no small task.

The IBM and SunGard alliance

The IBM and SunGard alliance marries IBM, a preeminent technology partner to the world's financial services industry, with SunGard, a leading solutions provider with a comprehensive portfolio of industry applications that cover all aspects of the trade lifecycle. Together, the alliance combines a comprehensive portfolio of standalone and integrated solutions with an integrated architecture for implementing securities processing from front office, via middleware, to back office. IBM and SunGard can assist you in deploying robust STP solutions and infrastructure that support the industrywide effort to automate securities processing.

SunGard's comprehensive portfolio of financial services solutions combined with a fully integrated, open-standards-based architecture from IBM for implementing securities processing can help unify your organization's front, middle and back offices. Industry-leading solutions from IBM and SunGard address all stages of investing and trading, and are designed to help you:

- *Lower total cost of ownership*—by using shared services and flexible hardware platforms that provide scalability, and by implementing the most cost-effective infrastructure to support industry applications
- *Manage risk*—by streamlining process and workflow and minimizing transaction errors through a shorter processing cycle between transaction initiation and settlement
- *Improve operational efficiency*—by reducing manual processes through the integration of IBM architecture components with SunGard integrated applications
- *Reduce complexity*—by leveraging the strengths of two proven global market leaders working together across all geographies
- *Evolve with changing market conditions*—by integrating new applications into your existing environment through shared services while building an architecture to support future growth
- *Meet regulatory requirements*—by using automation to speed transaction processing.



Solutions dedicated to the financial services industry

IBM and SunGard can help you automate your systems, reduce costs, improve operational efficiency and become more competitive through the innovative deployment of high-impact solutions in four major securities processing business areas.

Brokerage	E-trading and risk	Asset management	Portfolio accounting and custody service
<p>SunGard PowerStation</p> <p>SunGard PowerStation, a realtime, multichannel, Web-based broker/ advisor workstation based on the BrokerWare platform, is designed to provide brokers and financial advisors with online trading and associated front-office services, including contact and portfolio management, financial planning and asset allocations, in a thin-client desktop. PowerStation uses IBM DB2® for data management and can run on IBM @server™ xSeries™ servers.</p> <p>BrokerWare</p> <p>Offering online trading and account inquiry solutions for broker/dealers, advisors, clients and support staff, the SunGard BrokerWare platform can take advantage of IBM hardware, software and IBM Global Services.</p>	<p>Front Arena</p> <p>Front Arena offers broker/dealers solutions for all asset classes, from foreign exchange through interest-rate products to equities. It also provides a comprehensive trading and risk management environment and fully integrated market and credit risk management. Advanced operational risk control capabilities satisfy risk management needs across trading functions and throughout your operations. Comprehensive project management and systems integration for Front Arena is performed by IBM Global Services.</p> <p>Panorama</p> <p>SunGard Panorama™ provides realtime, straight through trading, portfolio analysis, risk management and processing. Running in IBM @server pSeries™ and xSeries environments, Panorama is supported by IBM Global Services project management and integration services. Used for a consistent view of market and credit risk enterprisewide, Panorama features cross-asset trading tools that streamline trading performance and support high volumes.</p> <p>GMI®</p> <p>A back-office clearing and accounting system for a complete array of futures and exchange-traded derivatives for broker/dealers, GMI electronically links to 16 derivative exchanges worldwide and provides automatic trade capture, pricing updates, margins and risk arrays. The system runs on IBM @server iSeries™, integrates with IBM WebSphere® MQ and is supported by IBM Global Services project management and systems integration services.</p>	<p>Decalog</p> <p>SunGard Decalog is a comprehensive front- to mid-office portfolio and order management tool designed for investment managers looking to become STP compliant and improve equity and fixed-income trade order management. Decalog will be available on IBM AIX®, be integrated with IBM WebSphere MQ and be supported by IBM integration services.</p> <p>XAMIN</p> <p>SunGard XAMIN® is a multicurrency performance attribution and measurement system that can help investment managers improve investment performance measurement and portfolio attribution. IBM project management and integration services support XAMIN, which can be integrated with IBM WebSphere MQ.</p> <p>Panorama</p> <p>SunGard Panorama supports a variety of analytic and risk management methods and tools, and helps improve client portfolio risk management and trading operations for asset managers and hedge funds. Running on IBM pSeries and xSeries servers, Panorama is complemented by IBM project management and integration services.</p> <p>Global One</p> <p>SunGard Global One for broker/ dealers and custody banks can handle the stock loan process from trade agreement to termination, and its client community extends from institutional investors to broker/dealers. Global One runs in an IBM AIX environment and is supported by IBM project management and integration services.</p>	<p>INVEST ONE</p> <p>Ideal for large financial services firms looking for single-platform operation on a worldwide basis, SunGard INVEST ONE® is a realtime, Web-deployed multicurrency portfolio accounting application that provides solutions for retail fund and institutional investments. INVEST ONE runs on IBM OS/390®, is integrated with IBM WebSphere MQ and features IBM product management and integration services.</p> <p>Global Plus® IC</p> <p>SunGard Global Plus is a realtime, multicurrency, multilanguage integrated asset management and accounting platform that is used by global custodians and asset management institutions to help profitably manage their high net worth and pension account clients for custodian banks. Global Plus runs on the IBM pSeries, is integrated with IBM WebSphere MQ, and is supported by IBM project management and integration services.</p> <p>To help improve custody accounting and back-office operations, SunGard offers OMNI IC®, a realtime, multiplatform online system for domestic, regional or global custody accounting that can accomplish STP from transaction entry to client statement delivery. OMNI IC features the IBM WebSphere Web interface, and is supported by database servers on AIX or mainframes.</p> <p>Global Portfolio II</p> <p>SunGard Global Portfolio II, a functionally rich fund accounting system designed for any type of fund and investment manager, addresses the needs of generic portfolio accounting for institutional and private banking. Supported by IBM project management and integration services, Global Portfolio II will be integrated with IBM WebSphere MQ and run on IBM xSeries and pSeries platforms.</p>

Take advantage of IBM—the IT and e-business leader

IBM provides the e-business infrastructure on which innovative SunGard applications run. With expertise in six key STP areas—messaging, workflow, data management, high performance processing, development environment, and systems management and security—IBM professionals can integrate the operational processes and technological architectures that support global securities processing with your current infrastructure.

IBM @server systems

IBM @server systems provide security-rich, reliable, available and scalable platforms that fit the processing requirements of a wide variety of global clients and markets. IBM @server environments can process growing volumes of securities transactions in any capacity while offering a favorable price-performance ratio.

IBM WebSphere

IBM WebSphere middleware is built on open-standards-based technology and enables the deployment, integration and management of e-business applications. As part of the WebSphere family of products, IBM WebSphere MQ is market-leading business integration software that connects client applications with products and industry applications for creating an efficient enterprise; provides key transformation, enrichment

and routing services to integrate SunGard applications into clients' business processes; and helps manage exceptions to reduce costs and improve operations' ability to handle exceptions.

IBM DB2 Data Management

As the foundation for e-business, DB2 product family software is the industry's first multiplatform, multimedia, Web-ready relational database management system. Award-winning DB2 product family software, together with Internet technology, provides a robust, scalable, reliable database and supports data management utilities that enable the consolidation of operational and analytic data.

Linux

The combination of the breadth and depth of IBM offerings with the superior dependability, value and innovations of Linux® provides end-to-end solutions that fuel e-business growth. And IBM offers the industry's most comprehensive portfolio of consultative and support offerings for Linux, from planning and design to implementation and technical support. Only IBM and its partners can offer expertise derived from unrivaled worldwide Linux support and services, a full range of industry-leading products and undisputed commitment to open source technologies.



IBM Global Services

Clients want innovative ideas to improve business results, and a partner that can turn these ideas into bottom-line returns. IBM is well positioned to deliver services that can help transform your business processes and strategies.

Located around the world, IBM Global Services practices provide a standard methodology for implementing and integrating STP technology, shared services and industry security-processing applications. Experienced IBM consultants understand the financial services sector and its technology and applications, so they can deliver the most effective solutions for achieving your business objectives.

Fewer vendors, less risk

The IBM and SunGard alliance offers comprehensive, integrated end-to-end solutions that address your business needs and help eliminate the worry of working with multiple vendors. With IBM and SunGard, you receive:

- Leading-edge solutions that offer global management, trading, processing and accounting for financial assets
- A highly available, scalable and security-rich e-business infrastructure for automated financial transaction processing
- Shared services across the enterprise that integrate and enrich applications
- Integration services, technology consulting and delivery capabilities built around time-tested IBM methodologies.

IBM and SunGard can help you achieve STP for a seamless, proactive transaction flow enterprisewide. By implementing industry-leading SunGard applications with proven IBM e-business infrastructure and service offerings, you can leverage solutions that help you maximize operational efficiency, manage risk, capitalize on revenue opportunities, support global expansion and reduce costs.

For more information

To learn more about how the IBM and SunGard alliance can help your business thrive, please visit:

ibm.com/industries/financialservices

www.sungard.com



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09-02
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