

CGI Wealth360™ Securities Processing

As the brokerage industry renews its push towards shorter settlement cycles, it is important to partner with a provider that has the expertise and solutions for enabling a smooth transition from a T+3 landscape.

CGI's Wealth360™ securities processing solution delivers an industry-proven, real-time brokerage processing platform. The solution provides large-scale brokerage firms with a comprehensive set of features that include a single security master, multi-currency capability, a fully integrated automated funds transfer system, client statements, automated entitlements processing, and foreign exchange management. Its diverse range of middle- and back-office functionality satisfies all of the business and brokerage requirements for retail, discount, and institutional broker dealers.

Wealth360's security processing solution has been architected to provide the brokerage industry with a scalable platform that delivers unparalleled transaction processing speed, efficiency, and accuracy. Operationally, it's built with straight-through-processing and is workflow enabled. This minimizes the need for manual intervention, thereby reducing costs and risks, and improving productivity. The solution provides brokerage firms with the edge they need to succeed in today's competitive marketplace.

TOOLS TO SUCCEED

Discount broker/dealers - Wealth360's clearing and settlement functionality improves risk management and operational efficiency by tracking both on- and off-book assets, real-time compliance monitoring, and channel-based commission generation.

Retail broker/dealers - Wealth360's front-, middle- and back-office functionality allows the retail investment dealer to improve operating efficiency and manage client / counterparty risk in a real-time manner to enhance customer service.

Institutional broker/dealers – Wealth360's real-time inventory management, clearance, and settlement modules provide an institutional investment dealer with state-of-art tools for managing risk (counterparty, market, settlement and foreign exchange).



FEATURES & BENEFITS

- Straight-through-processing compliant and T+1 ready
- Real-time web services
- Full support for FundSERV multiple dealer codes
- Margin and exposure management
- Extended transaction history
- Full support for investment suitability waivers
- Validate cash / holdings / buying power prior to order placement
- Order book by client
- Sophisticated entitlement module
- EFT module with support for:
 - Standing orders (contributions/withdrawals)
 - Mortgage and RRIF payment scheduling
- Sophisticated commissions based on channel
- Real-time inventory evaluations
- Automated P&L write-offs
- Customizable revenue classifications

In addition, Wealth360's single database model ensures data integrity with no need for third-party systems. Account inquiry is easier than ever, with real-time account evaluations and the ability to view 24 months of extended transaction history on a single screen.

Operating costs can also be reduced with the ability to combine multiple currency holdings, long and short positions, and options in one account. Take advantage of Wealth360's margining capabilities using firm-defined house margin rates. Transactions are fully-audited and can be easily adjusted/cancelled with full real-time rollback capabilities. Flexible debit/credit interest policy options can also be set by account type, business unit, sales rep, department, or legal entity.

AUTOMATED INCOME ALLOCATION

Unique to Wealth360's securities processing solution is the ability to accept and convert income files from clearing and depository services (CDS) to automatically allocate the periodic income generated from trust units. Wealth360 will identify the applicable accounts, split the income between dividends, interest and return of capital as required, and provide results on a single screen. As a result, no time-consuming, manual cancellations or corrections are required against the client account, and only internal tax entries are adjusted prior to the generation of applicable tax slips.

MANAGE INVENTORY

Wealth360 provides robust tools to help manage inventory, including real-time P&L display, cost of carry, and exposure reporting by inventory or rolled-up by asset type.

CGI WEALTH360

As part of the larger CGI Wealth360 suite, Wealth360's securities processing solution provides an industry-proven, real-time brokerage processing platform with a diverse range of front-, middle- and back-office functionality to satisfy all of the business and brokerage requirements for retail, discount, and institutional broker dealers.

CGI Wealth360 is a comprehensive suite of solutions that help wealth management professionals anticipate change, offer creative options, and increase efficiencies as they manage their clients' investments. From front-office sales tools to middle-office decision making and back-office administration, CGI Wealth360 delivers an industry-leading, end-to-end wealth management solution.

ABOUT CGI

CGI's Global Wealth & Capital Markets practice has more than 35 years of experience in developing and operating software solutions for the financial services industry. Our systems and solutions are functionally robust and designed to increase productivity, reduce errors, and improve customer satisfaction. The technologies behind these solutions are industry proven and used extensively by some of North America's largest financial institutions. CGI delivers all of these systems, services and solutions within a comprehensive quality framework defined by ISO 9001 and CSAE 3416 standards.

With 69,000 professionals in more than 40 countries, CGI is one of the largest independent information technology and business process services firms in the world

For more information about CGI, visit www.cgi.com/wealth360 or email us at wealth360@cgi.com.