

FIS Equities

Real-Time Trading and Validation

FIS Equities is a full-featured, front-end order management tool that ensures compliance and regulatory requirements are met when facilitating real-time equity and option trading. FIS Equities allows advisors to request quotes, place and validate orders and queue orders for next-day fills. Robust order routing capabilities allow access to any available liquidity pool.

FIS Equities is rules-based and completely configurable down to the customer level, allowing for established trade types and commissions, for example, to be tailored to the needs of your organization. FIS Equities extracts Know Your Client (KYC) data from the back office to ensure that KYC rules and advisor activity are adequately validated for all trades.

Solution Highlights

- Common order flow and single infrastructure to support all distribution channels such as full-service, client-direct or discount
- Flexible, institution-specific rules enforcement for fills, routing and compliance
- Seamless integration to external quote system, back-office information sources for real-time order validations and FIS Portfolio Management solution for up-to-date customer information
- Multicurrency order price and settlement value
- Estimated trade value automatically calculated, including estimated commissions
- Commission recalculation for authorized users after fill completion
- Automated rerouting of orders to an alternate exchange when user specified conditions exist
- Real-time order status updates and printing
- Configurable filtering capabilities for order management and online reporting of orders and fills
- Advanced features for creating and editing split and block orders
- Quicker processing time, reduced maintenance effort, and more complex control over order creation and editing for advanced users
- Special settlement handling
- Corporate actions maintenance on open orders.
- Exchange and symbol-based information, warning and error messages on order
- Queries of historical transactions that match user specified criteria

Solution Benefits

- Improve advisor and investor satisfaction and retention with highly configurable rules that permit value-add solutions. For example, clients can place Web orders for routing to the client's registered representative (RR) for approval.
- Enforce compliance with complex pre-trade business rule validation including security restrictions, RR licensing and entitlement and client-specific rules such as option trading agreements and support for fee-based accounts.



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- Improve order quality with enriched order entry that uses live quote and real-time, back-office information to facilitate rules-based order validation.
- Provide superior customer service with after-hours trading capabilities and access to historical transactions.
- Improve convenience with integrated order generation via portfolio management system.
- Improve ease of use for creating and editing block and split orders.
- Improve ease of use for automatically applying corporate actions and special settlements.
- Broaden global usage with ability to select currency of your choice for prices and settlements.
- Provide advanced support for regulatory audits through online inquiry.
- Improve reliability and throughput with implementation of alternate order routing when primary routes are inoperative.
- Reduce times to support client inquiries by stamping trades with current mark and "KYC" information at time of order placement.

About FIS

FIS delivers an integrated wealth management solution for banks, brokerages, insurance companies, and correspondent clearing firms. FIS Wealthware™ is an integrated suite of wealth management modules for comprehensive real-time order management, portfolio management, datawarehousing and market data management. FIS Wealth Management solutions help advisors manage and grow investors' assets and add depth to investor relationships.

FIS Wealthware – Order Management

FIS Order Management is a comprehensive online order management solution for accurate, real-time trading and straight-through processing of equity, option, fixed income and mutual fund transactions. By automating and integrating the order management process, "once and done" processing moves critical order information seamlessly and error-free from the front office to the back office in real-time.

Whether your organization is a bank, brokerage, insurance company or correspondent clearing firm, FIS Order Management supports multiple delivery channels such as full-service, discount or client-direct and includes FIS Equities, FIS Bonds, FIS Funds and FIS FX.



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