



# PROSPERO SUITE

WEALTH MANAGEMENT

DELIVER AN EXCEPTIONAL CUSTOMER EXPERIENCE - REACH OPERATIONAL EXCELLENCE



[www.finartis.com](http://www.finartis.com)





YOUR WORLD WILL  
NEVER BE THE SAME AGAIN



# CONTENTS

About FINARTIS	4
Our Clients	6
Our Solution	8
Digital Customers Portal	12
CRM & Sales Marketing	14
Regulatory Compliance	15
Customers Advisory	16
Investment Strategy & Portfolio Management	18
Order Managment	20
Pricing & Fund Evaluation	22
Custodian Interfaces & Reconciliation	24
Corporate Actions	25
Fees	26
Operations	28
Treasury	29
Accounting	30
Fund Administration	31
Transfer Agency	32
Analytics & Reports	33
Innovation Plans	34
Implementation & Licensing Options	36
Contact	38
	40



#1  
BEST SELLING

IBS SALES LEAGUE 2019  
PRIVATE BANKING SOFTWARE

---

“Price is what you pay, value is what you get”

Warren Buffet

---

Sam Walton, founder of Walmart, once said: “There is only one boss: the customer. And he can fire everybody in the company from the chairman on down, simply by spending his money somewhere else.” At FINARTIS, we share Sam Walton’s philosophy. We put our customers first – your success is our success.

FINARTIS is a leading software publisher and entirely self-financed company, which was founded in 1986. We serve clients all over the world from our headquarters in Switzerland. We design and develop high-quality, multi-channel front-to-back office solutions for financial institutions such as private banks, asset managers and family offices. Our software allows them to build smarter businesses, improve customer loyalty and generate higher returns.

Our clients turn to our software to manage their evermore complex financial operations with maximum cost-effectiveness and efficiency. Our team of finance and technology experts works closely with our clients to understand their needs and create a comprehensive, flexible and efficient solution, which is easy to use and truly proactive.

### Digitally-enhanced Client Relationship

We offer out-of-the-box solutions that allow financial institutions to differentiate themselves by offering their clients a comprehensive suite of services. Bringing personal advisor relationships online allows you to free up resources that can be better used to develop and deepen client loyalty.

### Increase Front-Office Productivity

We increase the productivity of your client-facing staff by reducing their administrative tasks. Our software enables advisors to focus on what’s important: higher value-added services that increase revenue and deepen client relationships. The results can be seen in solutions which deliver both a substantial reduction in the cost-to-serve and an increase in cross-selling opportunities.

### Attain Operational Excellence

Our solutions enable you to implement fully automated processes throughout your entire value chain. Your organization’s operational risks are lowered through the timely and accurate processing of all operations. This in turn allows your company to reduce its overheads and increase its agility.



# About FINARTIS

## WE VALUE RELATIONSHIPS

Software is all about simplifying complex business situations and environments. This is what first attracted me to technology and inspired FINARTIS since its foundation in 1986 under the SAGE name as it was called then. I've put together a team which is passionate about technology and creating innovative and accessible software which is focused on value creation for clients.

Our clients come from a wide range of finance-related backgrounds. They have come to trust our advanced technology to manage the ever more complex array of financial operations they confront. Our solutions help them to deliver better service to their own clients, leading to higher client retention and improved margins. We seek to improve front office productivity and the value added services you can bring to your clients.

At FINARTIS, we're committed to working together with you to deliver middle- and back-office operations excellence through intelligent solutions. We're looking forward to you joining us in the Prospero community as one of our clients or partners. Together, we can strive to make the world of finance simpler, safer and more efficient.

# Our Clients

SWISS EXCELLENCE  
IN A SINGLE USER-ORIENTED SOLUTION

---

"An investment in knowledge pays the best interest."

Benjamin Franklin

---

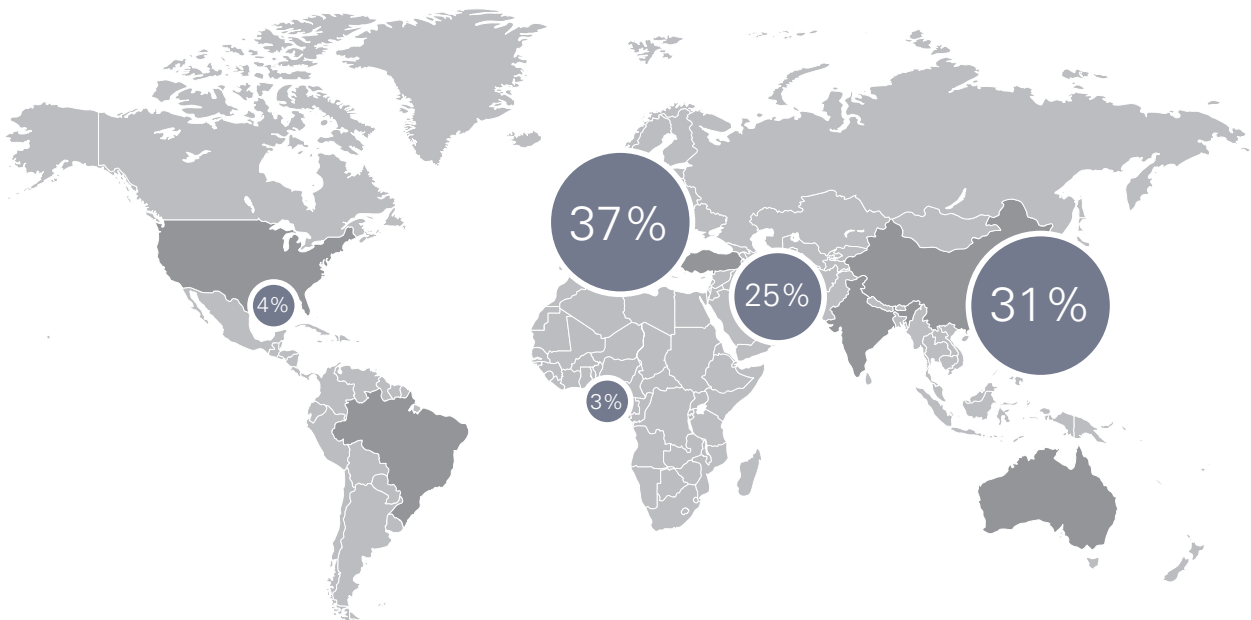


Fig 1. Prospero clients worldwide distribution

We serve customers all over the world from our offices in Europe, Asia-Pacific and the Middle East. Our diverse team of business and technical experts has a comprehensive set of skills that allow us to cater for

all our client's requirements. We're available around the clock to advise our clients and ensure efficient project implementation.





USD 500BN  
AUM

## Swiss Expertise and Best Practices at Your Service

Prospero suite was conceived in Switzerland, a country with a rich history in banking and finance. Switzerland's world-class banking industry is renowned for its diversity in products and services. Maintaining its status among the world's foremost banking industries requires highly dynamic systems that can support the wide range of operations it performs across the spectrum of asset classes, currencies and regulations. Prospero suite allows each client to navigate this environment and become a reference in its space.

## Global Reach

A range of financial institutions across the globe from private banks and family offices to wealth managers and asset managers turn to Prospero suite to assist in managing their wealth and automating their processes with our smart analytics and fully automated workflows. We enable them to gain new clients, while exceeding their existing clients' expectations through enhanced transparency and more intelligent investments.



## What Our Clients Say

"We are thrilled to welcome Treppides Fund Services in the Prospero users' community and assist them with their ambitious growth objectives.

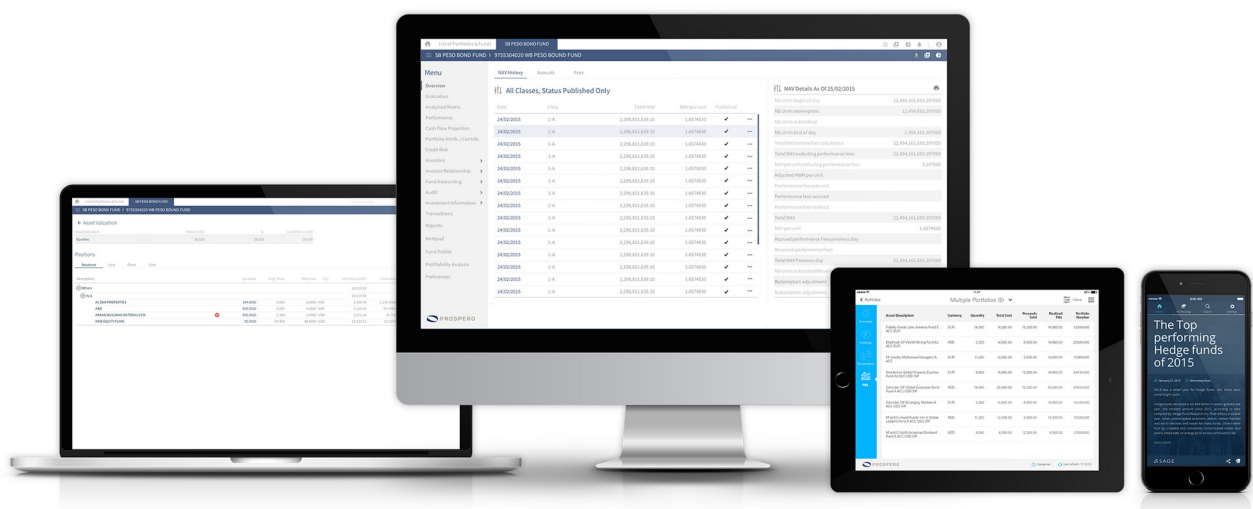
Prospero's unique modular design that integrates rules and workflow engines make it possible for smaller Fund Administrators such as Treppides Fund Services to benefit from a robust system otherwise only accessible to very large institutions.

After completion of the short implementation project, the new system will let Treppides Fund Services serve their clients with the level of excellence and reliability that they can only expect from the best Fund Administrators."

Andreas Yiasemides, Partner  
Treppides Fund Services Ltd

# Our Solution

VALUE CREATION THROUGH  
AN EXCEPTIONAL CUSTOMER EXPERIENCE



## Attain Excellence

Prospero suite Wealth Manager comes with a full range of front-, middle and back-office features. Its modules are delivered ready-to-market, easy to set up and user-friendly. This allows you to focus on the areas where you can add most value: strategy, investment performance and building strong client relationships right from the start.

## Everything You Need, The Way You Want It

One of our fundamental beliefs is that every organization has its own DNA. These inherent differences create a need for differentiated software. Prospero's built-in workflow and rules engine enable you to tailor its functions to the specific needs of your business. In addition, every company should have unique access management software, configured to suit the specific DNA of the company. The flexibility provided by Prospero means that your software package can now adapt to the evolution of your company.

## 01 Digital Customers Portal





## 02 CRM & Sales Marketing



## 03 Regulatory Compliance



## 04 Customers Advisory & Relationship Management



## 05 Investment Strategy & Portfolio Management

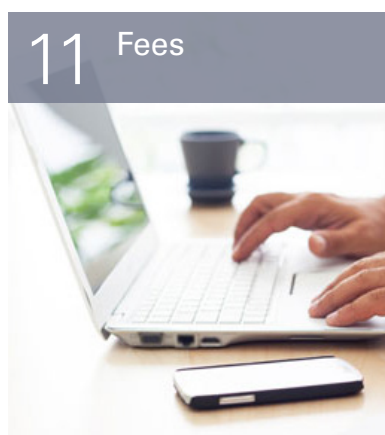


## 06 Risk Management



## 07 Order Management









# Analytics & Reports

360° user-customisable  
Customer, Model, Fund and Portfolios overview

Wealth Management is nothing without good analytics. Prospero comes with a 360° Customer, Model, Fund and Portfolio Overview, with a collection of analytics for the things you do every day, such as valuation or performance calculation. We provide you with a large range of specific business analytics tools based on your specific requirements. These high-quality reports can be generated automatically or at the click of a mouse button, meaning clients gain an overview of their portfolio on request, wrapped up in an attractive professional presentation.

More than 100 reporting templates are included.



## Digital Customers Portal

### Provide Customers With The Transparency They Require

Give customers an amazing digital experience. Our web client platform and tablet application provide customers with a 360° overview of their portfolio valuation, performance, future cash flows and personal reports. Give customers access to your investment strategy. Our configurator lets you easily personalize the user experience, from the visual design to data visualization, and available reports and fact sheets.

### Order Management With Compliance at its heart

Prospero's order management system simplifies the traditionally time-consuming process of filling out order books. Now, these are quickly and easily generated through pre-filled forms which are intuitive and easy to use. In addition, each time an order is being filled, the OMS runs a real-time compliance check to ensure the trade is compliant. Even financial advice is provided on that individual trade, so you're covered from every angle.

### Make Customers Relationship A More Personal Experience

Provide each individual customer with an exclusive digital relationship experience, using the most modern features such as secured messaging and report sharing. We have designed each and every feature to lead customers to create their own uniquely suitable experience on the basis of their contact preferences.

### Differentiate Yourself Through Customization

Just as no two wealth management companies are identical, no two software systems should be identical. Different enterprises will look for emphasis in different areas. Prospero's white label solution allows you to increase your brand reputation with a high quality, easy to use digital application. You can customize the functioning, look and feel of your whole system with a few simple clicks.

Visual Design

Extensive Access Management

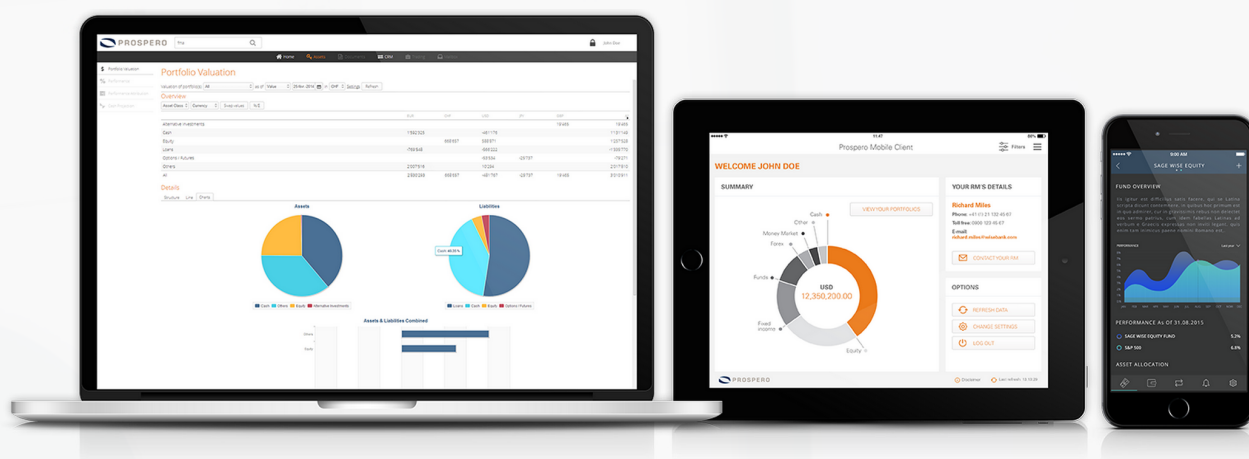
Reports

Data Visualization

\* Released soon



# YOUR RELATIONSHIPS



## Insights\*

Prospero's Insight feature gives customers access to up-to-date and relevant industry-leading news and enterprise strategy (investment products / strategy) articles. You can predefine where the articles are sourced from, based on the sectors most relevant to you or even contribute your own. Notifications with easy-to-digest summaries of the articles you want to read are just one of the features of your personalized news service.

What Insight equates to is a unique, user-friendly module which offers your customers access to news and communication in the way they like to consume it. Its introduction means that promotion has never been so relaxed, allowing you to link your communication to specific investment strategies, select relevant market materials and just push your articles to the right channels.

## Suggest Targeted Funds and Let Investors Subscribe\*

Our digital customer solutions have drawn their inspiration from the most renowned B2C applications. We have thus incorporated a Fund Store to propose your current investment funds to customers, according to their investment profile (KYC / AML) and preferences. Subscribing to a fund has never been so effortless for a customer.

## CRM & Sales Marketing

### CRM - Gain Value From Client Relationships

Prospero's CRM module has taken up this mantle, creating a solution which reflects 30 years of ongoing feedback from its close client ties in these industries. Every detail has been attended to, based on the requirements of leaders in these industries.

Extensive Information	Corporate Information
Contacts, Preferences & History	Investment Goals & Objectives
Investment Restrictions, Rules and Constraints	Targeted Investment Suggestions
Investment Preferences, fees and Marketing	Customizable Sections

### Investment Portfolios & Funds Profiling Tailored to your Requirements

The profiling of investment portfolios and funds you obtain with Prospero provides you with a full understanding of each of the investment goals, objectives and constraints.

Investment Structure	Investment Strategy, Goals & Objectives
Investment Restrictions, Rules and Constraints	Strategic Asset Allocation & Security Preferences
Predisposed Models & Investment suggestions	Marketing Campaigns
Monitoring (automated tasks & notices)	Customizable Sections

### The Smartest Way to Promote

Our powerful Marketing module is much more than a great way to promote your investment and enterprise strategy. Now you can target current and prospective customers with tailored multi-channel campaigns. Prospero helps to make your communication totally professional from the outset. And when they're ready, you just send your individual or mass-targeted messages, emails, news and articles in a single click. Once sent, you can track all the feedback you receive so as to improve your client profile, enterprise strategy, investment direction and marketing communication.

## Regulatory Compliance

### Because Knowing Your Customer is Where Your Company's Value Lies

In Wealth Management, knowing your customer is not just important from a relationship viewpoint, but also from a compliance viewpoint. Regulations governing business-client relationships become increasingly stringent while clients themselves are understandably more demanding in areas like transparency and risk management. Our KYC tool stresses the importance of offering exclusive relationship management. It allows you to approach clients on a more confident footing, giving you extensive client due diligence, compliance & profiling (AML, KYC e.g. MIFID) as well as accurate and up-to-date client risk profiling.

### ANTI - MONEY LAUNDERING

Prospero's Anti-Money Laundering Management module allows users to define and maintain AML checklists depending on the fund/category/jurisdiction/location of the individual customers. Follow-up reports are automatically produced at the frequency you need them. Prospero provides the option to export data to screening systems such as Reuter's World-Check so that nothing is left unchecked.

### FATCA & CRS

The newly issued FATCA & CRS reporting standards require international organizations to comply with a new set of challenges. Prospero has developed a solution that recognizes these new standards, and allows users to identify and update a "change in circumstance" in a customer's FATCA/CRS status.

### Compliance Activities : On Top Of Compliance

In an industry where reputation is paramount, the importance of being proactive in compliance and avoiding breaches is essential. Prospero's Constant Compliance includes pre- and post-trade checks, with warnings, showstoppers and specific validation processes. View all breaches and potential breaches at a glance and get a complete overview of suspicious activity and transactions, missing or expired documents and all other compliance-related activities.

### Setups : Taking The Hassle Out Of Your Compliance

While compliance is hardly the most glamorous side of wealth management, it is arguably the most important. The only decisions that can be taken in this industry are those that are fully compliant. Prospero's built-in Compliance-Rules Management module takes advantage of a unique interface, where users can easily maintain up-to-date complex compliance rules and calculations, and triggers automatic compliance report generation.



## Customers Advisory & Relationship Management

### Advisory : A Pro-Active Sales Management Tool

Clients in the wealth management industry have placed relationship managers in a privileged position, trusting them with their family's capital and their long-term prosperity. This position demands that relationship managers are seen to be pro-active. Prospero helps you to achieve this by suggesting targeted investments to your prospective and current clients. It's pro-active because you are. Prospero provides users with the ability to suggest the most suitable investment strategy and asset allocation for each and every client. With Prospero, you can trade recommended investments to portfolios with a single click and gain instantaneous profiles of newly-adjusted portfolios. Prospero's aims are to consistently exceed client expectations with regard to their time horizons, investment objectives and constraints.

Keep details of each individual client within easy-to-reach access: their investment analytics, their activity and relationship history and all other relevant details. As soon as your conversation begins with a client, you have a complete 360° overview of where their portfolios have been and where they are headed to, as well as having the confidence to make suggestions about where you believe they can make improvements.

### Relationship Management

With Prospero, you have everything you need to create perfect relationships. Configure preferences to remind you of each major event. Schedule and organize your contact activities with our simple-to-use Organizer, and generate tasks to perform using predefined processes. With Prospero, tasks such as preparing for client meetings and tracking feedback are effortless. In short, you will always be on track and on the ball.

### Enhanced CRM Functions

Providing targeted transparency has just become a whole lot easier. Prospero enhances the CRM functions of finance firms through customizable fact sheets and reports with detailed investment information and advanced analytics, which can be shared in a single click.

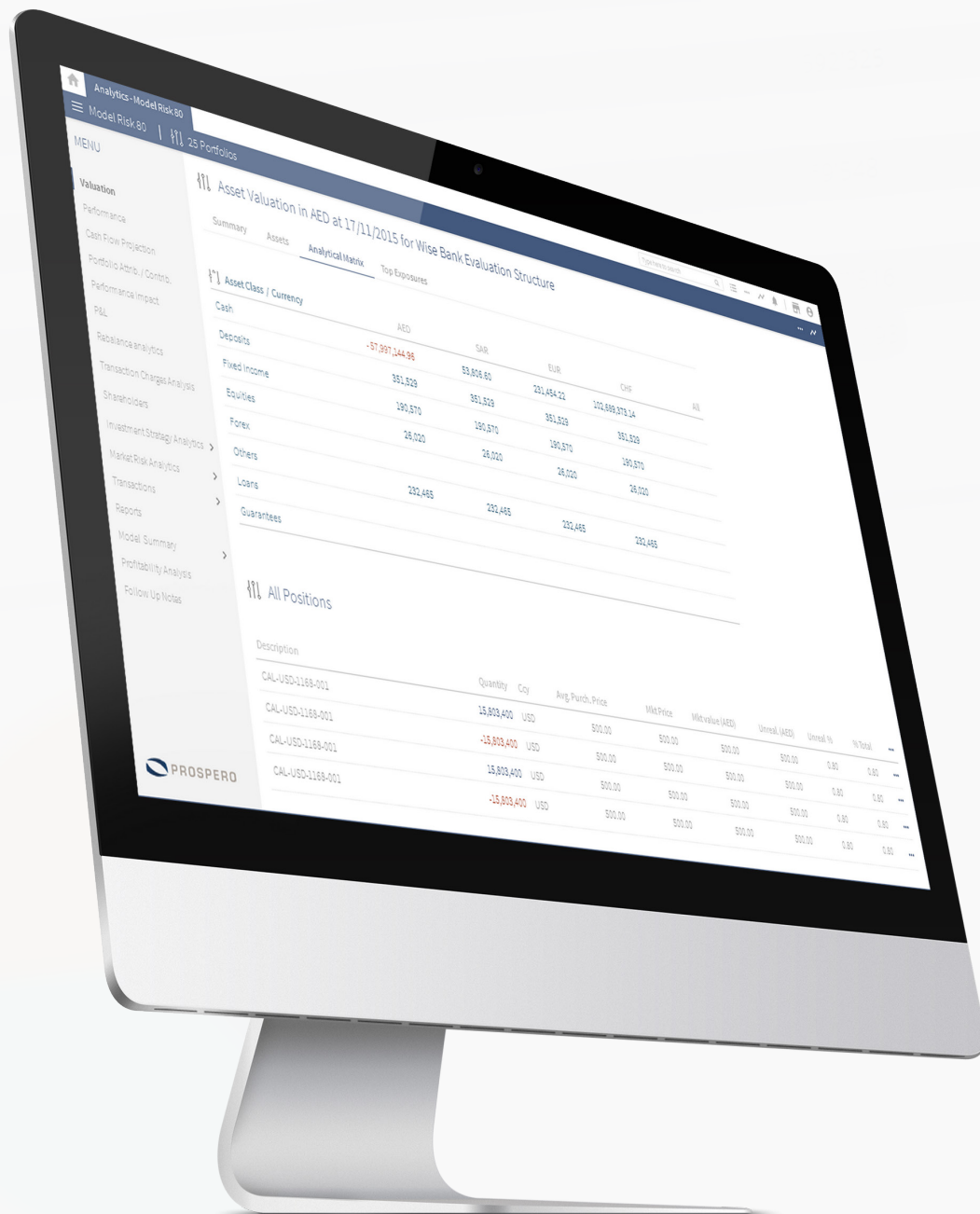
### A Customizable Dashboard to Get Quickly to Where You Need To Go

Prospero's customizable dashboard provides a 360° overview of daily tasks, notifications and recent activities. It allows you to get where you need to go in minimum time.

# H TARGETED RELATIONSHIPS “



“BE SMART. DON'T TRY TO TIME



## Key Asset Classes Coverage

Equity	Fund	Deposit & Loan
Private Equity	Hedge Fund	Structured Products
Real Estate	Fixed Income	Cash
Limited Partnership	Derivative	And more



## Investment Strategy & Portfolio Management

### Optimize Returns In A Mature Market

Our Investment Strategy and Optimization module allows you to analyze all your investments options. It guides you through an informed process in selecting the best asset allocation for your portfolio's risk profile taking into account extreme events. Our financial models have been built on over 20 years of combined academic research aimed at finding an improvement of the risk metrics commonly used.

Identify the risk profile of your portfolio and propose the optimal asset allocation based on your risk preferences. The portfolio optimization tool seeks to minimize risk metrics such as volatility, tracking error, parametrical and historical expected shortfall, Monte Carlo expected shortfall and maximum drawdown. Visualize graphically a portfolio's components, benchmarks and credit risks and how the credit risks are being reduced. This efficient system has also been designed to minimize brokerage fees so that the customer achieves a higher Alpha.

### 360° Overview Of Models, Funds & Portfolios

Enjoy direct access to a 360° overview of any specific portfolio or portfolio consolidation (such as portfolios related to a model). Our powerful Model, Fund and Portfolio Overview empowers you to fine-tune your investment strategy to make value-creating investments. It enables you to compute and analyze performance using a variety of methods: now you can slice and dice P&L into several dimensions, compare your portfolios against individual or blended benchmarks, access all of your analytics libraries and take advantage of several other features, including suggestions for calls to action : 'rebalance', 'liquidate' 'specify' or 'currency hedging'.

### Model Management

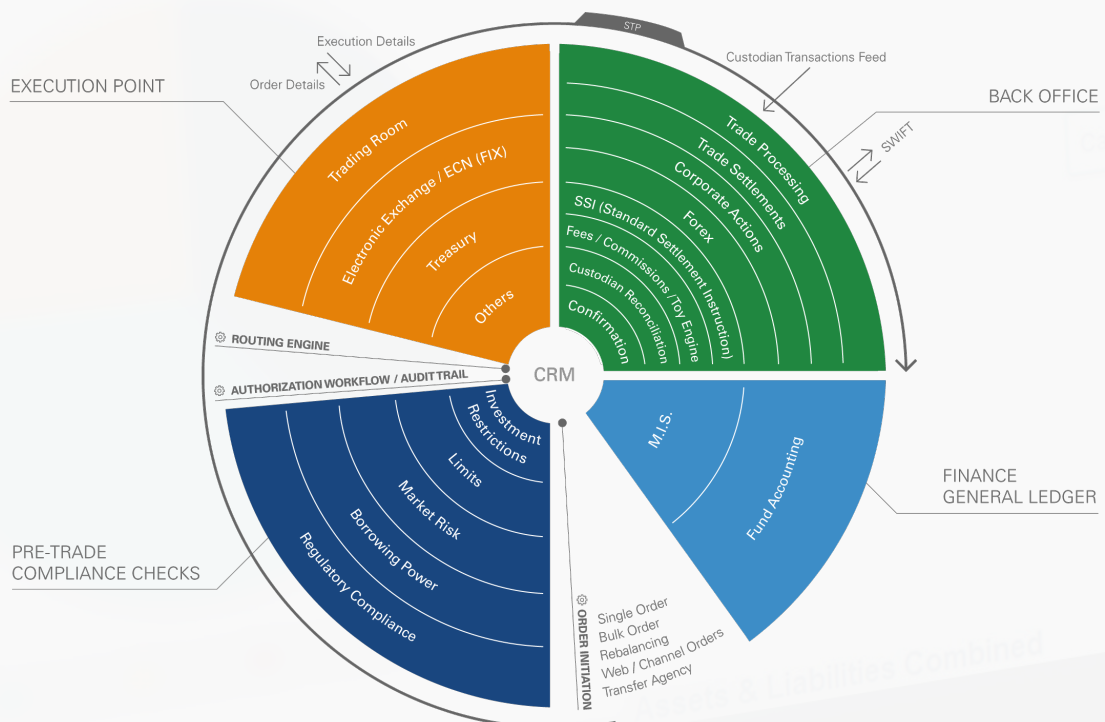
Prospero allows you to manage your portfolio models in accordance with your investment strategies. Prospero keeps it simple: now you can tailor your portfolio weights to match their tactical and strategic objectives in a single click. You have also the capability to automatically track market fluctuations using drifting models to ensure that each portfolio is weighted correctly. Our multi-level model overview leaves you in control of every specific need you have in terms of analytics. Prospero then outlines the trade orders required to automatically or semi-automatically rebalance the portfolios in the context of its individual investment constraints and compliance rules.

### Your Personal Dashboard

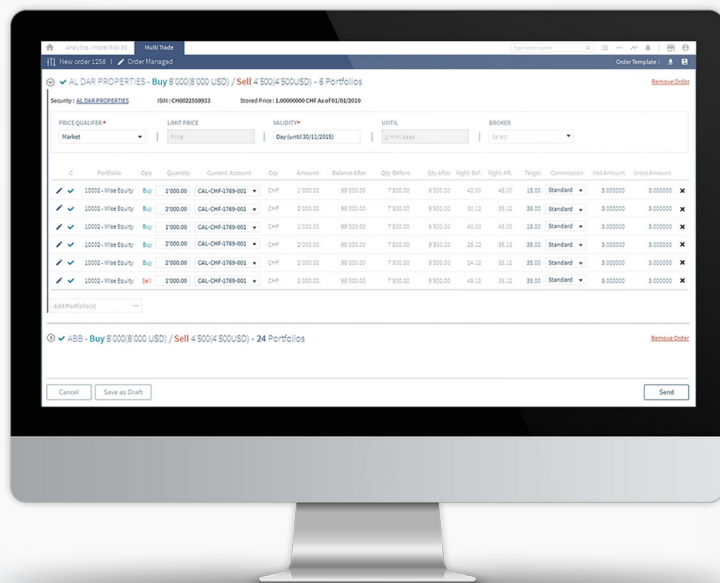
The investment strategy and portfolio management dashboard is a customizable dashboard, providing a 360° overview of daily tasks, notifications and recent activities. Prospero offers the ability to design and configure dashboards the way you need them, from configurable task generation to widgets and notifications you need to access. In this way, it becomes easy to know when you have to rebalance portfolios relative to a specific model or price change.

## Order Management

STP - Achieve What Needs To Be Achieved In the Most Efficient Way Possible  
Straight-through processing lets you dramatically improve all transactions at the same time as reducing your settlement and operational risks. Get real time analysis and reporting from every department. Prospero can also be connected electronically to your counterparts to implement straight-through processing. One of its major objectives is to enable the entire trade process for financial markets activities and payment transactions to be conducted electronically (from trade capture to execution, validation and settlement). In addition, the system is integrated, with third party analytics and data providers such as Bloomberg, Reuters or Six.



# ORDER MANAGEMENT



## Capture Order

Our configurable order life-cycles are designed to be simple and efficient, while maintaining multi-broker relationships. You can quickly and easily generate pre-filled multi-portfolios or multi-securities orders. Prospero supports a large range of asset classes, from the most common ones such as Long/short equity, Fixed-Income and Funds to more complex derivatives and illiquid classes such as Private equity and Real estate. Prospero's Order Management checks the compliance with the defined set of rules, including regulatory, and performs collateral monitoring on leveraged portfolios.

## Execution Management

Prospero provides all the major features that traders need to be efficient in their daily tasks. Visualize your transaction tickets in a single, comprehensive, blotter interface. Access a consolidated overview which offers an advanced real-time view of trading activity and execution status. Check and validate orders easily in the case of investment restrictions, a breach of compliance or a broken credit limit, or adjust any information relative to the deal ticket, such as traded price.

User-oriented Prospero proposes the adequate and appropriate calls to actions, with details, to help you to take the right action. Minimize the number of transactions by consolidating orders. Automatically and directly feed and notify all trade adjustments and cancellations to front, middle and back offices. Order and execution automation is generally implemented using the FIX protocol or ad-hoc messaging formats.



## Pricing & Valuation

### Prospero Internal Valuations - Formulas

With Prospero, you have everything you need to manage automatic valuation processes in an efficient way, using the Prospero formula feature. Our solution provides the transparency that you need around your valuations processes and demonstrates effectively how a value was calculated and controlled.

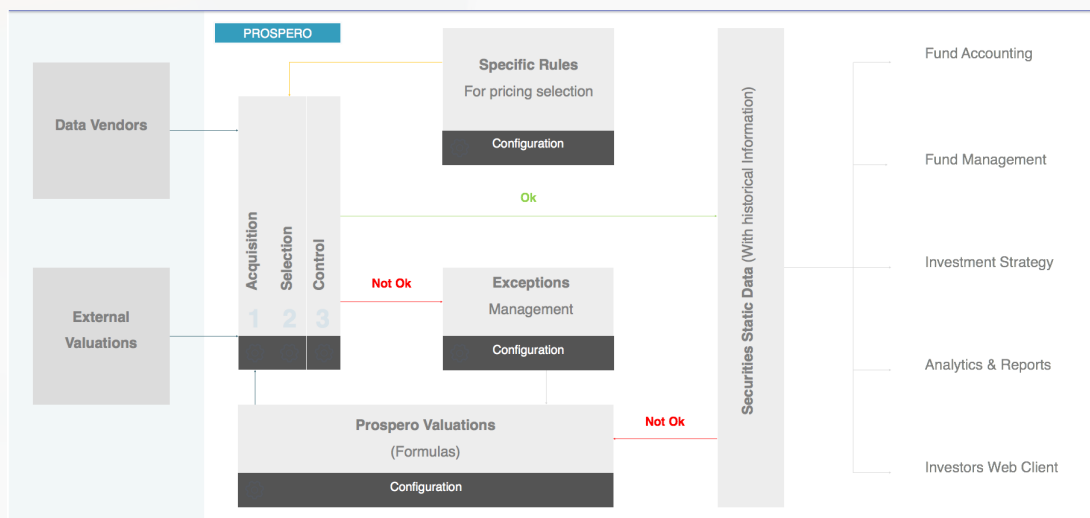
### Your Central Point of Control, Quality and Transparency

Our solution offers a central point of acquisition, selection and control, which guarantees quality and transparency for pricing. Acting as a single point of communication with external data providers, Prospero automatically collects and evaluates prices the way you want to, from one or multiple sources that you require:

- Pricing Vendors (e.g. Bloomberg, Reuters, etc. )
- Internal data feeds (e.g. Web Services, CSV imports, etc.)
- Internal valuation micro-services algorithms.

### Efficiency in Pricing & Valuation Operations and Exception Management

Visualize your Pricing & Valuation data in a single, comprehensive, blotter interface. Access a consolidated overview which offers an advanced real-time view of security static data and several other features. Check and validate pricing easily in the case of exceptions.



Pricing & Valuation Process

## Custodian Interfaces & Reconciliation

Successfully automating the data management process requires the efficient organization of vast amounts of third-party data. The data may be received at different times and in different formats, and is sometimes incomplete. Interpreting the data correctly therefore requires a system capable of dealing with these variables.

FINARTIS has established a wide range of connections to custodians, and data providers and facilitates core-banking systems integration through its open API. This allows us streamline and automate your middle and back office with advanced connections from numerous sources and to present data in a clean and coherent manner. Our team of finance and technology experts connects you to your counterparties and market infrastructures worldwide, enabling standardized, straight-through processing from settlement to corporate actions, saving costs and reducing risks.

### Connectivity With Custodians

Saving time and limiting operational risk is a fundamental goal of Prospero. Prospero provides comprehensive multi-currency, multi-asset class and multi-market support for any transaction using automatic trade transmission reconciliation between your back office and custodians/brokers.

With Prospero, managing and manipulating data to meet the requirements of the custodian's business and software has never been so effortless. Its intuitive interface processes daily movements (securities, cash and contracts) and positions to ensure that the system is 100% reconciled as soon as processing has been executed whilst simultaneously recalculating the fees collected by the counterparties to verify their accuracy.

FINARTIS has developed deep knowledge and expertise of global custodial services and maintains strategic relationships with the most commonly used custody and data providers. In this way, Prospero provided standardized connectivity using ISO messaging standards and SWIFT connectivity as well as ad-hoc formats.

Prospero automatically consolidates the information you need from thousands of custodians, funds and specific connections for automatic reconciliation and posting. With all the data now readily available, you can now complete the process such as trade settlement and deal confirmation, process transactions and position reconciliations more efficiently than ever before, freeing up staff to focus on higher value-added processes.

## Corporate Actions

### Automatic Processes to Minimize Time Spent on Administrative Tasks

Prospero automates your entire corporate action processes, including everything from event capture right through to claims and settlements. Everything which can be automated in a risk-free manner is taken off your hands. You can significantly reduce the workload for almost every event.

Prospero has a built-in Corporate Action Rules and Process Management module designed to boost efficiency across the whole range of your firm's operations. It enables you to fully monitor any type of corporate actions with a flexible set-up of workflow and notifications, and a comprehensive coverage of global corporate actions. No need to worry about system interfaces; with Prospero, everything is handled in a single module.

Prospero keeps it simple: now you can schedule and organize the entire process, using templates tailored to your needs. You can also add any specific rules you need to, the way you want to, in just a few clicks. Our multi-level overview of the process leaves you in control of every specific need you have, from event capture through tasks, elections, notifications, to settlement.

With Prospero, applying rules such as rebates, taxes and transformations right through to specific funds and securities has never been so effortless.

As soon as you've finished working on an event, it is automatically reconciled and marked as complete. Claims are settled, documents are transmitted and taxes are recorded. In short, everything is streamlined so that you, the user, only need to take care of exceptions.

Moreover, Prospero clears the communication lines between the corporate action department and shareholders, at times when both require information. It calculates costs and entitlements, applying them at the correct times.

### Automating Daily Tasks For Maximum Efficiency

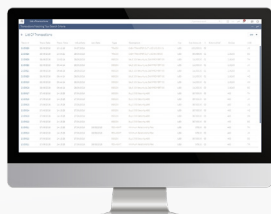
Prospero offers a comprehensible user-friendly overview of your notifications, daily tasks and corporate action activities. Visualize any entire corporate action process and drill down into more specific details of each specific status. Prospero provides the possibility to create and modify everything you need, manually.



# YOUR CORPORATE ACTIONS



# “STREAMLINE YOUR FEES A



## Fees

Prospero provides complete control and organization – everything you need in terms of automated fee calculation and processing is provided. It allows you to integrate checks throughout the fee process, making it more reliable, cost effective and efficient. The daily challenges faced in terms of fees include asset valuation after distribution, AUM segregation, application of commission rates/tiers/discounts, calculation of performance/high water marks and a range of other complications. Prospero has been designed to cater for every eventuality, so that you spend less time on small, but nonetheless essential tasks.

### Automated Workflows and Controls

Prospero offers all the standard fees you would expect (e.g. Management Fees, Custody fees, audit fees and virtually any other user-definable fee type). One of the best things with our Fees module is how simple it is to manage the entire fee process. Our Rules engine offers eye-opening flexibility. Create new types of fees and manage each and every automatic rule calculation you need in just a few clicks. From global level to specific rules, you can now manage every specific calculation when you need to.

Our Fees module is easy to configure and allows you to manage all types of fee and commission structures consistently and accurately. From fixed amounts through simple percentages to complex algorithms with conditional logic, our Rules engine interface is so user-friendly that you need no IT knowledge to achieve what is needed.

Prospero provides automation in the calculation and processing of invoices, accruals, accounting entries and cost allocation. The entire commission calculation and payment process is managed in a single flow. This is all powered by a processing engine specifically designed and configured for all aspects of commission and retrocession management, allowing for rapid, reliable and transparent data processing, calculations and real-time reporting.

### Exceptions and Exclusions

Prospero offers a complete, comprehensive overview of your diary tasks, exceptions and exclusions.

## Operations

### Post Trade Processing

Prospero automates the entire post trade process, significantly reducing the workload of value-adding employees. Managers can rest assured that everything from trade transmission to book and confirmation is being taken care of by an efficient tool, which has been developed by a team of dedicated practitioners. The Prospero post-trade operations module provides comprehensive multi-currency, multi-asset class and multi-market support for transactions using automatic trade transmission (STP) between middle/back office and custodians/brokers. Post-trade instructions and confirmations are implemented using SWIFT messages. Manual processes and ad-hoc communications can also be implemented. Prospero provides the opportunity to create and modify/reverse transactions manually if you so require. You can carry out detailed monitoring of transactions and follow settlement status using a comprehensive transaction blotter and a series of filters. The main financial instruments/ operations supported by Prospero are equities, fixed incomes, derivatives, money transfers, cash withdrawals/remittances, guarantees, loans, forex, contracts, and money market deposits.

### Exceptions Management

Prospero offers a user-oriented dashboard which enables multiple visualizations across the full reconciliation data set and its Alerts Inbox offers instant insight into exceptions and root-cause analysis. In addition, the exception management capabilities ensure that all your reconciliation actions can take place in just a few clicks.

### Create and Manage User-defined SSI Rules (Standard Settlement Instructions)

With Prospero, you can create and manage the user-defined SSI rules you need so that the settlement and reconciliation process has never been so effortless. Our Rules Engine offers eye-opening flexibility. Manage each and every automatic rule you need in just a few clicks. From global level to specific rules, you can now automate and standardize the entire process.

### Reconciliation

#### **Trade confirmation, standard settlement instructions, post trade matching, settlement and reconciliation**

Prospero offers a focal point for managing the reconciliation processes for every type of financial instrument. Our solution automates and standardizes the entire process – from importing data files, through matching data and reports exceptions.



## Treasury

### Efficient Liquidity Management

Prospero Treasury Module provides everything the modern treasury manager requires from managing short-term instruments such as interbank loans to monitoring assets and liabilities on an ongoing basis. The module also means that treasury managers can manage cash, placement and borrowings with the peace of mind of having an overview on counterparty risk.

### Bank Relationship Management: Get the Full Picture

Representing as it does an important source of funding and contacts, negotiating with banks is essential. Prospero allows you to keep control of this relationship, by acquiring an in-depth understanding of your monthly accounts summary, banking transaction costs, credit allowance and debts. In addition, you can compare your bank with others on a per-unit and per-month basis to ensure you're enjoying the best rates available.

### Market-Leading Cash Forecasting Tools

Your business depends on reliable and predictable cash flows for its survival. Our cash forecasting tools allow you to achieve the perfect balance of your liquidity/cash shortfall and overdraft. This includes valuation, future cash flows and personal reports, as well as a full view of expected payments, based on data derived from each client's history with your business. Finally, you can access a concise history of transactions, fees and credits. You never need to lose track of the evolution of past, current and forecasted cash flows.

### Foreign Exchange Module: Thrive in Multi-Currency Environments

The ability to deal efficiently in different currencies increase efficiency, generate performance and reduce execution risks. Prospero's Foreign Exchange module mitigates risk through well-developed implicit Forex transactions, back to back transactions, hedging mechanisms and exposure identification. It allows you to see where your organization is exposed to currency exchange risk and suggests a range of hedging strategies on how to reduce this exposure.

# Y IN YOUR PROCESSES ”

## Accounting

### Maximize Efficiency in your Accounting Processes

The Prospero Accounting module offers a comprehensive range of features, including automated processes, solutions for legally complex structures and report generation for any of your account requirements (IFRS, Swiss GAAP, US GAAP, etc.), allowing managers to focus on the higher value-creating aspects of your business.

### Fully Integrated Books and Records

All transactional activity is automatically translated in real time into double entry accounting postings based on flexible entry templates. Prospero's accrual module also posts all relevant accrual entries for holdings revaluations, derivative replacement value, revenue from fees and financial instruments.

### Accounts Receivable and Payable: A constantly updated view of financial ins and outs

Prospero's Accounts Receivable and Accounts Payable model allows users to keep an ongoing track invoices and payments, giving an updated overview of where your company's accounts stand, taking into account amortization and fees for delays.

### General Ledger

Prospero suite is designed to provide a complete real-time view of a company's financial records, providing full audit trails and data integrity for each accounting entry. Prospero offers long and short accounting and predefined income processing for the entire accounting process. From now on, you can organize your general ledger how you want it. Whatever the transaction, it can now be mapped to the right accounts. Maintaining Single/Multi-currency General Ledger for trading and settlement activity and consistency is ensured thanks to a 360° overview of all general ledger balances. Everything can be scheduled, monitored or changed in just a few clicks. As a result, all GL entries are generated automatically, including powerful correction processing and reevaluation. The package features user-defined templates, which establish customized defaults in most input fields for each security type, saving you time on data entry and improving data accuracy.

### Simplify Task Management

Schedule and organize your activities with our easy-to-use organizer. Generate automated accounting processes such as accruals and reports to be delivered at a timeline of your choosing.

### Meeting Accounting Requirements

FASB – Financial Accounting Standards Boards

IFRS – International Financial Reporting Standards

Tax Rules

Statutory

Enterprise Management

## Fund Administration

### Maximize Efficiency in your Fund Administration Processes

Prospero's Fund Administration module offers you a comprehensive range of features, including automated processes and report generation, giving you the time to focus on the higher value-creating aspects of your business. Our 360° fund overview allows you to analyze, manage and personalize the activities of your fund in just a few mouse clicks. Within seconds, managers can access the day's assignments, automated accounting operations (including exceptions), overall fund positions as well as the objectives, investment style and strategies of every fund. High quality reports (full audit trail, compliance, general ledger) can be generated efficiently and on demand. With Prospero, everything has been created with the modern financial manager in mind. Ensuring that a fund's activities are in line with its prospectus has never been so effortless.

### Automatic NAV and Pricing Calculation

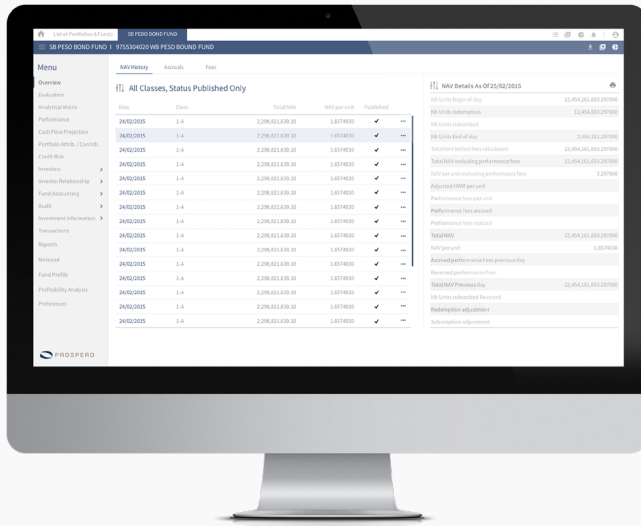
Fast and accurate NAV calculation is an essential part of the fund administration process. Prospero has an automated NAV and pricing calculation, which can be applied across a company's range of funds, including multi-class and master-feeder funds – all within a single mouse click. Prospero also allows NAV variation checks and pricing controls. Corporation actions can be automated or processed manually, giving users the flexibility they require. In addition, all changes made are recognized across the system, from pricing, fee processing and general ledgers, making the process more efficient and accountable.

NAV Automatic Calculation	NAV Variation Checks and Pricing Control
Corporate Actions Processing and Control	Accruals
Fee Processing and Control	Unit Allocation

### Reconciliation And Exception Management

Fund managers face a daily challenge in reconciling positions and exceptions across their funds. Implementing these daily tasks efficiently and accurately is essential to minimize operational risks. What's more, the challenge has been exacerbated by ever changing global and cross-border regulatory environments, Dodd-Frank and European Markets Infrastructure Regulation (EMIR) to mention just two examples. A dedicated team of technical and financial experts at FINARTIS have developed a comprehensive user-friendly solution, which allows companies to respond to these challenges. Prospero allows fund managers to visualize a full history of their funds activity, accruals, fees and NAV. Whatever the level of detail you need to access, Prospero can cater for the demand in a click.

# AND QUALITY AT THE FOREFRONT



## Transfer Agency

### Module's Overview

Regulatory changes in the past decade have significantly changed the role of the transfer agent. Recognizing the evolution demanded by these changes, our transfer agency module has been designed with flexibility at its heart. It enables companies to better manage their subscription and redemption lifecycle, shareholder registry and unit allocation. Managers can access and edit their clients' profiles in real time, and take advantage of the scalability offered by the module.

- Transfer Agent registration for account opening,
- Booking of subscriptions/redemptions, unit allocation and contract notes generation,
- Automation of all events affecting the shareholders such as distributions, fees and other actions,
- Ownership transfer between registrars,
- Data uploads (investors data, subscriptions, redemptions and others)

### Reporting

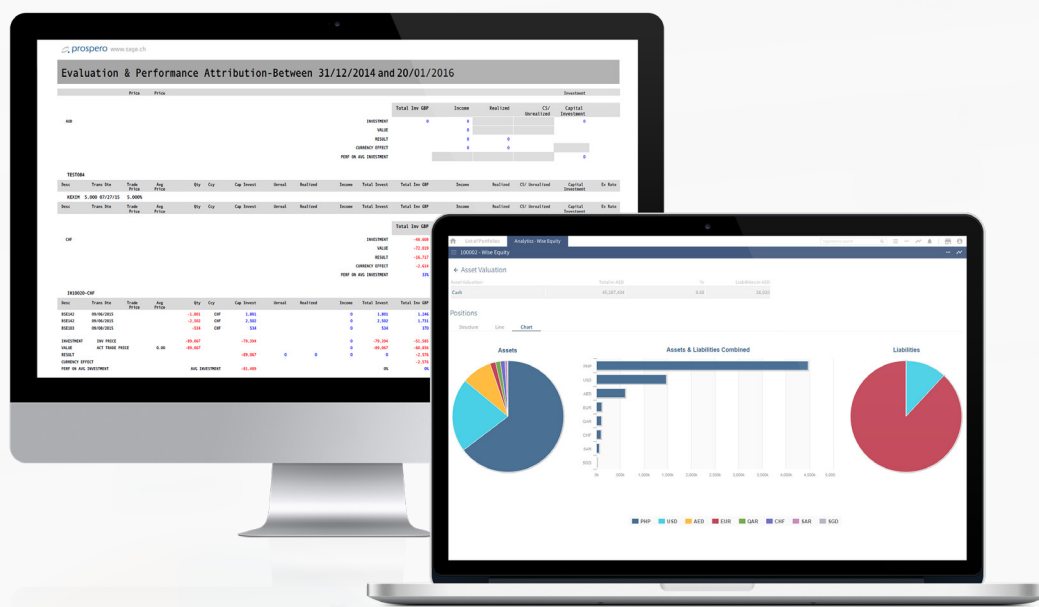
Prospero allows clients to deliver detailed and accurate high-quality reports to their investors. Each report is based on templates that can be configured to the individual requirements of the client with extensive options for charts and additional details. These reports can be scheduled to run at pre-set intervals and once generated, can be printed, converted to PDF files and e-mailed to the clients, or simply uploaded to the client's own private account on the web portal.

### Partnership Accounting

The Partnership Accounting module lets you handle the limited partnership's specific tasks.



## Analytics & Reports



## ANALYZE PERFORMANCE AND VALUE IN A CLICK

### 360° Customer, Model, Fund & Portfolio Overview

Prospero is a versatile multi-channel platform, which has been designed to be accessed anywhere and on any device. Prospero increases the productivity of your front-office staff by providing direct access to everything they need in a single click, thereby significantly reducing their administrative tasks. Our solution provide portfolio managers with a complete 360° overview of where their funds and portfolios have been and where they are headed to, as well as gaining the confidence to make suggestions about where you believe they can make improvements. Our analytics provide customers with a better perspective of day-to-day performance, valuation and forecasted future cash flows. These business analytics tools can be configured to each individual user so they can track the indicators most relevant to them.

### Export, Customize and Share in All Simplicity

Export, print or share all the analytics and reports you need to. From configurable automatic generation to specific on-demand needs, our Reports Editor enables you to deliver impressive targeted quality in terms of content and visual presentation.

# YOUR DECISIONS “

## Key General Analytics

Evaluation	Performance	Profit & Loss
Cash Flow Projection	Perf. Attribution / Contribution	Profitability Analysis

## Key Investment Strategy Analytics

Return Anylsis	Benchmark Analysis	<b>Portfolio Alpha Protection</b>
Metric Analysis	Allocation Analysis	Performance Deviation

## Key Credit Risk Analytics

Evaluate Rates	Credit Risk Evaluation	Simulation Positions
Exposure Without Pledge	Counterparty Risk Analysis	Debtor Analysis

## Key Fund Administration & Accounting Reports

Trial Balance	Journal	Initial Balances
NAV	Balance Sheet	Retain Earnings
Account Extract	Profit and Loss	Adjustments

## Key Audit Reports

Positions and Interest of Bonds	Subscription and Redemption	Units Allocation
Positions and P&L of Securities	Units per Transaction History	Fees
Exchange rates	Units per Nav History	Custodian Positions

And much more...

# Our Innovation Plans

BE READY, YOU WILL ALWAYS BE ONE STEP AHEAD

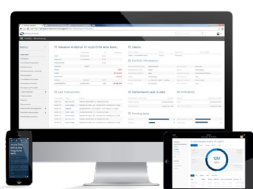
“Digitization is rewriting the rules of competition, with incumbent companies most at risk of being left behind.”

McKinsey





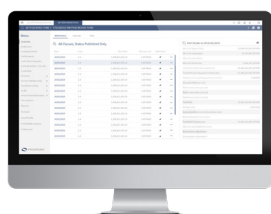
# DISCOVER WHAT'S NEXT



## Dynamic Reporting & Self-Service BI

Take the best decisions to improve your strategy and communication skills. Use smart and attractively predefined dynamics dashboards designed especially for senior management. Let your business experts easily create dashboards. We use the latest Business Intelligence and self-service BI technologies.

---



## Prospero suite - Wealth management

The world of wealth management is changing on an almost daily basis. The introduction of robot advisory is not only disrupting the industry, but has the potential to change it irrevocably. FINARTIS is already working on a robot advisory solution which will allow its clients to thrive in this ever-changing environment.

---



## Tablet Version 2.0

Why not give an even more amazing first impression to your prospective customers by using high quality pre-defined dynamic reports designed for presentations. Ensure your promotion by sending targeted news directly to your customers' communication devices, thereby creating an even greater desire to subscribe. Our investment Store will suggest funds by tracking your customer behavior and preferences.

---



## Smartphones

Offer your customers permanent access to the most important investment information. Send targeted news and promotions. Enable customers to contact you via a secured messenger that includes documents, reports, audio, or promotions.



# Implementation & Licensing Options

## PROSPERO SUITE

CAN BE IMPLEMENTED IN JUST A FEW WEEKS

### System Installation

FINARTIS builds and delivers the system with a clean environment containing no data or setup. FINARTIS provides technical training on maintaining Prospero. Training will differ if system is hosted on our premises or delivered to customer.

### System Deployment

Our team of business analysts will gather customer specific information and setup customer specific parameters using the "Prospero Setup" meta-tool. Training is also provided to users during this period.

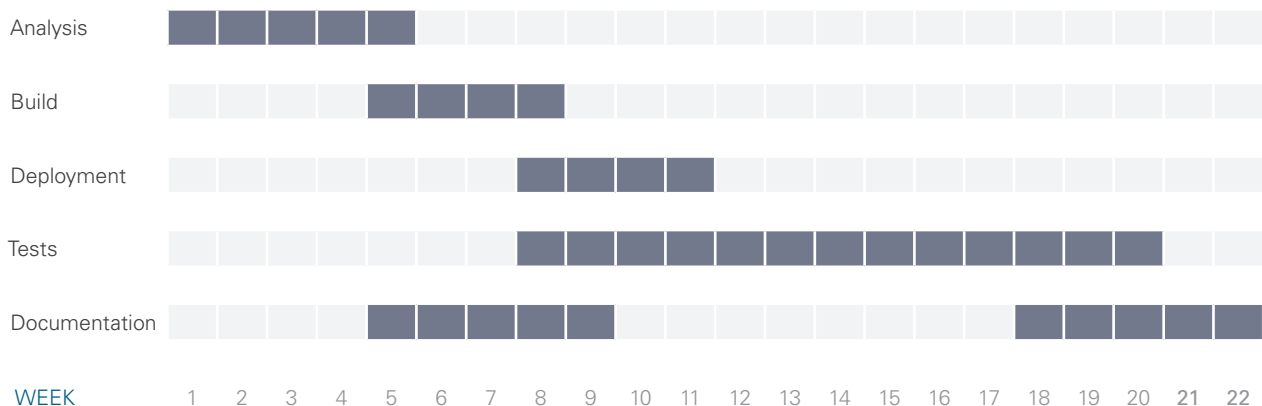
### UAT

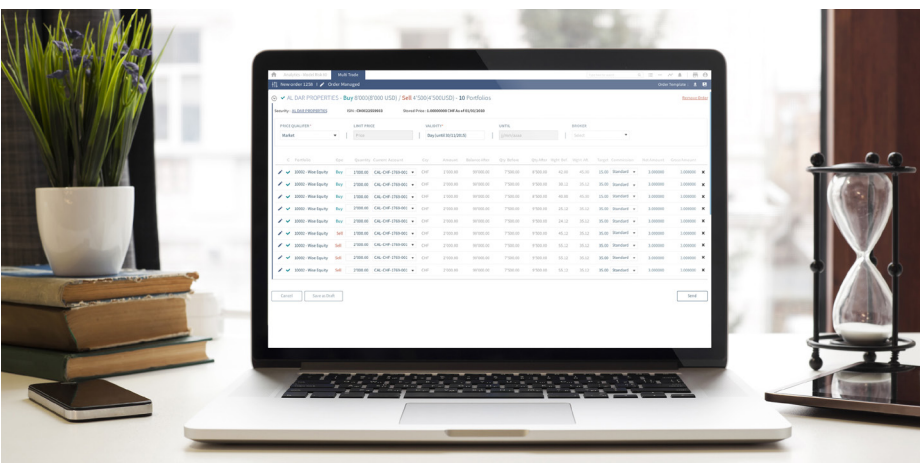
Client tests the system with the assistance of our business analysts.

### Post-Live Support

Our technical staff remains available for immediate response time during the go-live period.

## STANDARD PROJECT MILESTONES





# FAST TIME TO MARKET

## LICENSE, SERVICES AND MAINTENANCE FEES

Prospero is available either in rental mode or through a one-time perpetual license purchase with yearly maintenance and support. The rental option includes the system itself and all the required infrastructure and services required to run it. Purchased systems can be installed on-premise or hosted.

### User License

Allows access to the system's user interface.  
One user license per named user is required.

### Server License

Allows usage of the system's core functions.  
One server license per site is required.

### User Support

Gives access to the 24x7 user support site.  
Coverage is during business hours or up to 24x7 based on the level of service you require.

### System Maintenance

Gives the right to install service packs and new releases of the system.

### The optional hosting service covers:

- One production server
- An access to the proposed software products through a secured connection via internet.
- A firewall which monitors and filters network traffic between the Internet and the protected zone.
- Secure remote access via VPN
- A sufficient storage and computing capacity
- A standard backup process of the production data
- Maintenance operations of the infrastructure components (e.g. server, databases, software).
- The backup and recovery process.

Every great collaboration starts with a conversation

[demo@finartis.com](mailto:demo@finartis.com)

[www.finartis.com](http://www.finartis.com)

[linkedin.com/company/Finartisfintech](https://www.linkedin.com/company/Finartisfintech)

[twitter.com/Finartisfintech](https://twitter.com/Finartisfintech)

**Switzerland**

Rue du Pont 22  
1003 Lausanne

Phone: +41 21 653 64 01

**Singapore**

5 Shenton Way  
#10-01, UIC Building  
Singapore 068808

**Dubai**

PO Box 500835  
256A Business Central Tower  
Dubai Internet City

**Manila**

15/F Citibank Tower  
Paseo de Roxas, Makati City  
1200 Philippines  
+63 2 555 5442