



Spectrum **PRIME**

INDUSTRY-LEADING PRIME BROKERAGE FUNCTIONALITY

- **Global Cross-Product Trade Management and Risk Management**
- **Fast Execution and Volume Scalability While Preserving Pre-Netted Trade Details**
- **Integrated Web Publishing for Comprehensive Reporting**
- **Flexible Integration with Multiple Dealing Systems**
- **Real-Time Collateral and Credit Limit Monitoring with Pre-Trade Margin and Limit Checks**
- **Highly Professional Multi-Lingual Correspondence including Online Statements, Transaction Confirmations, and SMS and Email Notifications**

Overview

Spectrum Prime is a comprehensive and integrated cross-product trade management platform. Within one integrated platform, clients' Foreign Exchange and Derivative positions can be monitored in real-time. Spectrum Prime's robust architecture can seamlessly integrate high volume trading activity. The integrated risk engine provides real-time monitoring of both credit and collateral limits, providing instant information and automated notification of any limit breach. Trading risk can be netted within Spectrum Prime to dramatically reduce the high volume effect of Prime Brokerage business on wholesale operations. Information published by the risk engine is readily available for Web reporting as well as Web portals, with real-time updates using XML Web Services. Some of the largest prime brokerages rely on Spectrum Prime for its comprehensive functionality, robust data model, flexible analytics, and fast processing.

Instrument Coverage

Spectrum Prime allows users to easily view consolidated positions across all asset types including the following financial instruments:

- FX Spot Contracts
- FX Forward-Contracts
- FX Swap Contracts

- Vanilla OTC FX Options
- Exotic OTC FX Options

Fast Execution and Volume Scalability

Spectrum Prime's optimized architecture allows users to manage portfolios of hundreds of thousands of open trades. The automation built into Spectrum Prime allows users to efficiently manage global back-office operations. It is not uncommon for clients to realize a 10-fold improvement in daily processing volumes due to the increased processing efficiency of Spectrum Prime.

Real-Time Limit Checking

Counterparty risks, market risks, and trader risks can be closely monitored with Spectrum Prime's flexible Limits Module. Users can define a variety of limits, such as exposure limits, credit limits, settlement limits, and cash flow limits for each counterparty by financial product or for an aggregation of products. Limits may be weighted by financial product and are updated in real-time. The Limit Browser in Spectrum Prime provides a convenient screen to view all limits and their utilization, with flexible filtering to drill-down to specific clients, products, and currencies.

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Desktop Alerts

Any transaction or market change that results in a breached limit can generate a desktop alert. The issued alert must be acknowledged or cleared by authorized personnel in order to de-activate the alert. Additionally, an SMS and/or email alert of a credit or collateral breach may be sent to any interested person, whether or not they are a user of Spectrum Prime.

Real-Time Web Publishing

Spectrum Prime is able to publish Account Summary information, plus Positions, Transactions, and Risk in real-time for client review. Archived Client Statements can be easily accessed through a web portal, providing value-added services to the institution's clients.

Client Position and Risk Monitoring

Spectrum Prime features a range of advanced, real-time analytical tools which facilitate the management of complex positions. Spectrum Prime's core risk management capability features a number of Analytic Blotters which can display the complete sensitivity profiles of a portfolio on a single screen. The blotter technology delivers flexibility and speed in analyzing complex portfolios, meeting the business needs of both traders and risk managers. The Analytic Blotters display data in real-time, refreshing position, P&L and sensitivity information as quickly as trades are entered into Spectrum Prime.

Multi-Lingual Messaging & Online Statements

Spectrum Prime fully supports multi-lingual communications with full language and character support. Clients receive the "local" support they desire with user-defined messaging capabilities. Whether the language is English, Arabic, French, Spanish, Chinese or any other business language, Spectrum Prime will produce highly professional Confirmations, Statements and Notices for clients around the corner or around the world.

Robust, Integrated STP Functionality

When trades enter Spectrum Prime they receive Straight-Through-Processing for confirmation, payment, and accounting. Confirmations can be provided in a number of formats including SWIFT, fax, email and mail. Payments can be automatically generated for SWIFT, CLS, Fedwires, CHIPS, ACH, 3rd party payment systems and drafts. Using a rules-based engine, any step in the back-office process can be automated.

Fees & Commissions

Spectrum Prime's Commission module enables users to create complex commission structures that can be used to calculate and track commissions and fees on a real-time basis. Spectrum Prime will calculate and track fees that are paid to salespeople and brokers, as well as fees that are charged to clients. Fees and commissions are calculated, applied and captured as trades - providing real-time account updates and monitoring capability.

Integrates into Any Environment

Spectrum Prime's interface facilities enable users to easily import data from, and export data to any third party application. The interface facilities are very flexible, allowing users to customize the types, formats, and order of imported and exported data.

Spectrum Prime supports interfacing for the following types of records:

- Trades
- Counterparty Definitions
- Cash Flows
- Payments
- General Ledger Accounting
- Nostro Accounting
- Market Rates
- Reconciliation Records

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