



GEOS

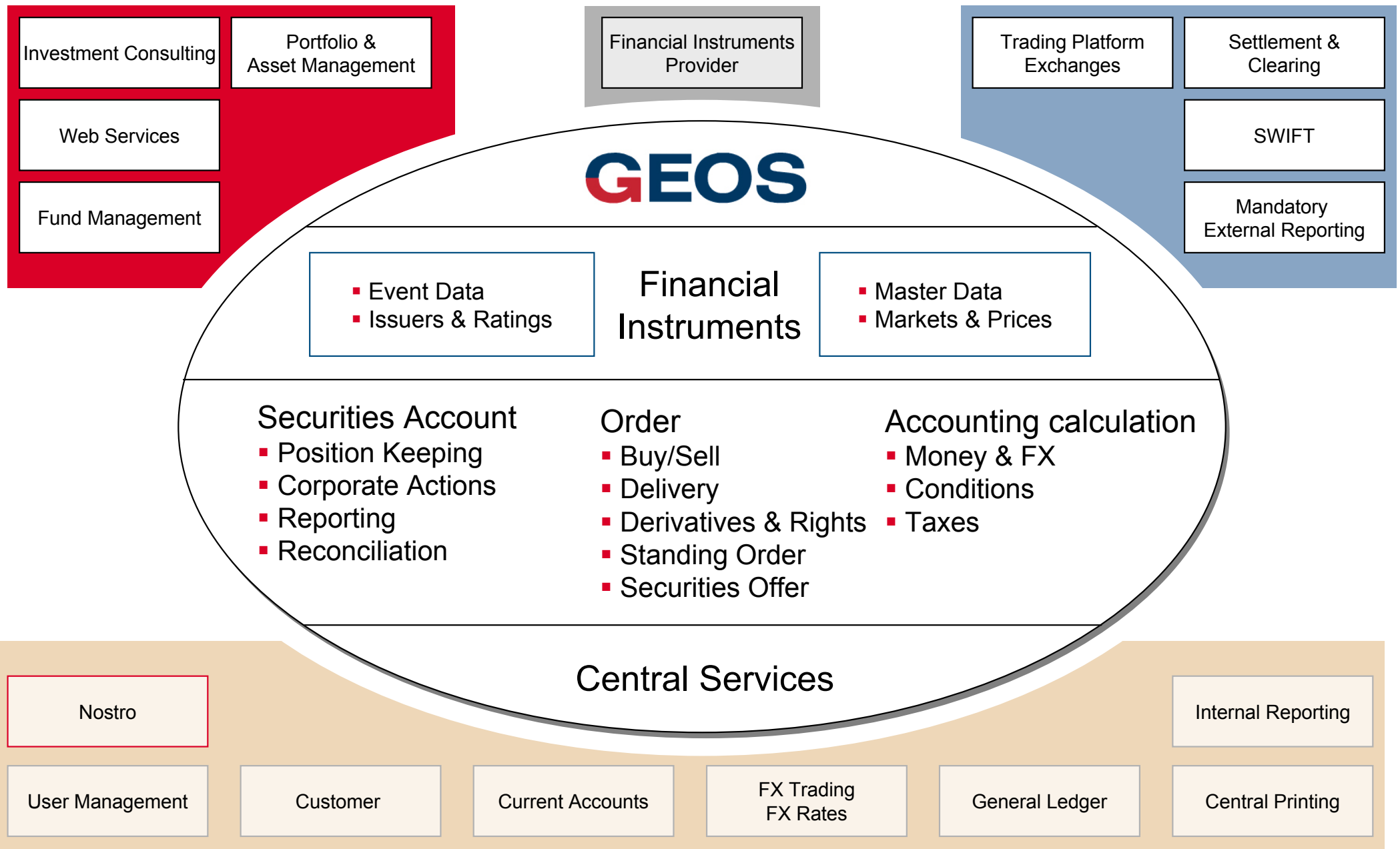
GEOS Overview

- GEOS is...
 - a management and processing system for securities and standardised derivatives
 - a consistent system with multi-channel support for front, middle and back office
 - multiple client institution-capable, multi-tiered, ideal for international subsidiaries
 - allows in-/outsourcing, operation of transaction bank
 - 24-seven availability
- GEOS supports...
 - Straight Through Processing with particular focus on Exception Handling
 - interaction with other systems using well-defined proprietary and standardised interfaces
 - the highest performance requirements

- Client institution and transaction bank support, multi-tier capabilities
- Multi-national and multi-enterprise capabilities
- Multi-language and multi-currency support
- Multi-channel support
- Flexibility due to parametrisation and user exits
- End-to-end Straight Through Processing
- High performance and 24-seven availability
- State-of-the-art architecture, component technology
- Scalability – organisational and technical
- Flexible interface architecture
- Multi-platform support
- Independence from third-party systems

1,100,000 queries / h
136,000 orders / h
86,400 accounting calculations/h

System Environment



STP at your fingertips

- Separate master data system for maintaining public category, event and market information
 - as data basis for operative systems
 - as information database
- Operation across multiple banking and IT centre structures
- Outsourcing of master data maintenance to securities services
- Automatic transfer from data suppliers (WM, Telekurs, ÖKB, DWZ etc.)
- Verification, data processing, approval and distribution
- Maintenance of client institution-specific, non-public securities information

- Comprehensive master data maintenance for
 - Customer and custodian securities accounts, also for own holdings, custodian bank etc.
 - Counterparties
 - Portfolios and investment guidelines
 - Agreements for corporate events, taxes, advisor liability etc.
- Standing settlement instructions
 - as data basis for fully automatic settlement
- Real-time position keeping for securities and derivatives
- Securities account information (client reporting)
- Fully automatic event processing
 - for payments, corporate actions and Annual General Meetings
 - automatic tracking and processing of transactions fed into system after maturity/payment date
- Holdings maintenance transactions

- World-wide trading and delivery transactions for securities and derivatives
- Standardised processing via world-wide Straight Through Processing with order routing, execution, settlement incl. exception handling
- Voluntary corporate actions, subscription rights, voting cards procurement etc.
- Balance keeping in real time, including preliminary cash posting
- Extensive logical checks with regard to exchange practices, event data, account balance, advisor liability, compliance etc.
- Follow-up orders
- Standing order management
 - Asset planning (savings and payment plans)
 - Reinvestment of coupons and redemptions
 - Event monitoring
 - Automatic execution
- Securities offer management and fixed-price trading

Internal Reporting

- Dialog access to current information on
 - Securities account statistics
 - Portfolio statistics
 - Position statistics
 - personal
 - by instrument
 - Transaction statistics
 - personal
 - by instrument

External Reporting

- Legal reports for different legislative territories, e.g.
 - Report to securities & investment supervision
 - Securities holdings report
 - Securities account statistics
 - Foreign trade report
 - Social stratification
 - Cover fund statistics
 - CYT reclaim
 - Own holdings report (Nostro)
 - Stamp journal
 - Securities journal
 - IRS reporting

- Flexible definition of system behaviour for managing a bank's securities transactions
- Menu-based parameterisation by specialised employees without knowledge of a programming language
- Determination of client institution structure incl. model and service client institutions
- Definition of client institution-specific fee and condition models
- Display of country-specific tax regulations
- User class and authorisation management
- Definition of posting logic
- Maintenance of client institution-specific code tables and language entries

- Flexible parameterisation of accounting calculations
 - Fictitious accounting calculation for equivalent value
 - Preliminary accounting calculation for
 - Customer routing
 - Nostro account routing
 - FX rate determination
 - Real accounting calculation
- Posting logic for General and Subsidiary Ledger
- Evaluation of defined rules for the calculation of
 - Fees
 - Conditions
 - Taxes
- Interest calculation based on current practices
- Internal billing of services (e.g. branch basis)

- Standardised messaging via electronic interfaces (ISO 15022) and documents
- SWIFT, FIX, fax, e-mail
- Creation of all legally required documents of securities transactions
- Decentralised and centralised printing
- Document creation, either online or via batch
- Document output, optionally via
 - Data interface for integration of output management and archiving systems
 - Document interface for parameterisable layouts defined in GEOS