



PEGA® SECURITIES EXCEPTIONS FOR FINANCIAL MARKETS

SIMPLIFY EXCEPTION PROCESSES WITH PEGA'S AGILE SOLUTION

FINANCIAL SERVICES

AT A GLANCE

KEY CHALLENGE

Custodians, broker-dealers, and other securities firms find they must now invest in smarter and more flexible systems to resolve exceptions and customer inquiries quickly. Providing timely, cost-effective resolution to securities exceptions — which generate significant cost and risk — is more challenging than ever.

THE SOLUTION

Pega Securities Exceptions for Financial Markets simplifies securities exception operations by managing investigations throughout their lifecycle, aligning day-to-day work to strategic goals and client expectations. Using Pega, custodians, brokers-dealers, and other Financial Markets companies can conduct exception operations more efficiently, increasing profitability and the quality of the client experience.

DELIVER COMPLIANT, SIMPLIFIED SERVICE ACROSS EVERY CHANNEL

Pega Securities Exceptions for Financial Markets is the industry's most intelligent, agile solution for rapidly resolving securities exceptions. This solution gives relationship managers, service representatives, and operational teams dynamic case management and integration capabilities that simplify complex exceptions processes and can be used across any channel.

Leveraging the Pega Build for Change® technology and over 25 years of delivering investigations and exceptions management solutions to global financial institutions, Pega Securities Exceptions for Financial Markets enables securities firms to serve and retain clients across all channels and on every device.

- **Reduce time and costs for exceptions handling**

Mitigate the complexity and errors associated with manual securities exception handling while resolving cases faster using end-to-end automated processes and business rules that dynamically change based on conditions.

- **Engage with clients across all channels**

Offer seamless service with Pega's omni-channel user experience, personalizing the engagement to the channel or device. Interactions move transparently across channels without any loss of context.

- **Increase compliance**

Ensure critical tasks occur within allowed timeframes using rules-driven processes that automatically manage service levels based on regulatory directives and company policies.

- **Maximize business agility**

Immediately respond to new opportunities and changing regulations with Pega's Build for Change technology, empowering business users to create and modify rules and processes without any coding.

PEGA® SECURITIES EXCEPTIONS FOR FINANCIAL MARKETS

THE PEGA DIFFERENCE

Efficiently Optimize the Customer Experience

- Intelligent processes automate workflows for common requests and exceptions including missing or incorrect instructions, settlement failures, reconciliation breaks, missed corporate actions, tax reclaims, income advices, income payments, entitlements, and many others.
- Intent-led processes guide users to minimize training time, provide service consistency, and reduce errors.
- Rules-based personalization, including routing, prioritization and resolution, combines with unified exceptions management across business lines for tiered client servicing.
- End-to-end case management lets managers escalate time-sensitive or high-value cases.
- Web self-service allows clients to search transactions, initiate investigations, review open and resolved exceptions, and view reports.

Simplify Processing from End-to-End

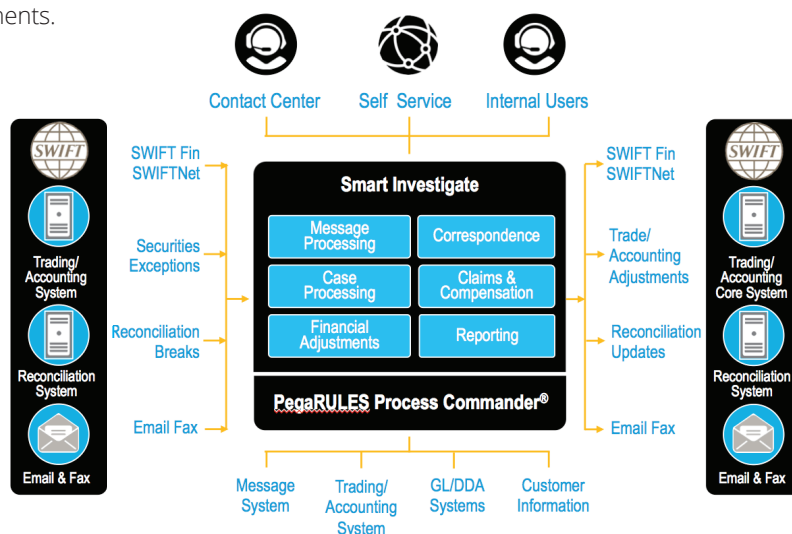
- Pre-packaged workflows and decisioning rules automate financial adjustments for tasks such as rectifying an incorrect tax reclamation, initiating a market claim for a failed trade, adjusting an incorrect commission or fee, and more.
- Workflows cover inter-bank compensation rules for late cash transactions; claiming, paying, and receiving interest; adjusting value-dated accounting entries; and posting interest to P&L accounts. Market claims can also be spawned automatically from investigations where a failed trade has caused the misappropriation of entitlements.

Automate to Reduce Risk

- Rules-driven processes automate receipt, parsing, and processing of incoming messages and also send outbound correspondences in SWIFT and other industry formats.
- Free text messages such as e-mails, SWIFT MT59x messages and stock-reconciliation breaks are parsed with key investigation data including amounts, dates and references. Case types are automatically identified and entered to generate new exception cases.
- A complete audit trail available in easily configured reports captures every activity in the investigation lifecycle to provide quality level, error analysis and productivity measurement.

Rapidly Deploy and Continuously Adapt

- Pega's build-once-and-reuse-everywhere capabilities let you rapidly share application assets across products, lines of business, geographies and channels.
- Standards-based integration with legacy systems enables quick, seamless data access and use in real time.
- Familiar office tools make it easy to update processes, rules, interfaces and other components without writing any code for rapid response to new opportunities and changing regulations.
- Pre-defined, configurable processes, rules, object and data models, interfaces and other application assets minimize implementation time.



Pega Securities Exceptions for Financial Markets can simplify securities exception processes to increase compliance, reduce risk, and deliver a client-centric experience.