



Solution Overview

Metastorm Enterprise™ for Securities and Investments Firms

With unprecedented market upheaval facing the securities and investments industry, today more than ever you must have control over your processes, ensure transparency at all levels of the organization, and take the appropriate measures to reduce costs and manage risk .

Metastorm addresses your challenges with Metastorm Enterprise™, an integrated portfolio of fast and flexible enterprise modeling, business process automation and integration software to help you define, automate, and enforce effective, repeatable business processes and to proactively monitor and audit your performance on an ongoing basis.

Metastorm ProVision®: Enabling Rapid Response to Change

As an end-to-end solution for EA and BPA, Metastorm ProVision enables you to understand, realize, innovate, and monitor all aspects of your firm's business operations to continually improve performance.

With Metastorm ProVision, you can create a holistic picture of your enterprise. It provides a comprehensive platform for capturing and integrating multiple perspectives on processes. Through the solution's use, you can extend models to include the relationships among processes, goals, organizations, locations, information/data, and systems. For example, Metastorm ProVision enables you to:

- Create an enterprise that can swiftly respond to market and regulatory changes
- Leverage enterprise process information for more effective risk management
- Tighten the execution of processes across lines of business
- Rethink distribution channel strategy and web-based opportunities
- Plan optimal use of assets to lower costs and manage risk

Highlights

Benefits

- Improve insight and transparency across business operations
- Comply with complex industry regulations and manage risk
- Plan organization, system, and asset changes following a merger or acquisition

- Streamline new account onboarding and know your customer
- Modernize legacy systems and data transfer
- Gain control over and optimize core business processes
- Maximize value to shareholders and customers

Customer Success

- 1199 National Benefit & Pension Funds
- Glacier Financial Services
- Oregon PERS
- U.S. Treasury Community Development Financial Institutions

Learn about these and other Metastorm customer successes at www.metastorm.com

- Plan organization, system, and asset changes following a merger or acquisition

As an added benefit, Metastorm created the Reference Model for Finance & Audit to provide an even more effective way to document financial processes and internal controls. Housed within Metastorm ProVision, this special series of pre-built, best practice financial process and control models provides a fast-start rollout using a structured, process-driven approach to compliance, accelerates the development of process documentation efforts, reduces the time and expense required to document processes and controls, as well as improves the overall quality and accessibility of the documentation for future audits. And its sound framework supports Sarbanes Oxley and other regulatory and legal requirements.

Metastorm ProVision has been successfully deployed by top global financial organizations for initiatives such as launching products and systems, establishing a business architecture, converting a legacy mainframe pension system to a COTS product and achieving true business automation.

Fast and Accurate Data Collection

As part of the Metastorm ProVision product offering, Metastorm Discovery™ is an interactive process discovery tool designed to enable economic, faster and more accurate collection of data, process understanding, and process metrics that can be used to drive business process modeling, improvement, and optimization efforts. This solution can help you easily collect actual experiential data on your financial processes to determine where opportunities exist for continuous process improvement. This data can be used as input for modeling your “as is” process and analyzing potential improvements using Metastorm ProVision– with the goal of optimizing the process to meet your specific strategic objectives, such as minimizing costs, accelerating response time, or improving productivity. The optimized process can then be deployed and automated through Metastorm BPM.

Metastorm BPM®: Manage Risk & Execute on Opportunities

Business process management (BPM) holds tremendous value for financial institutions looking to increase investor confidence, reduce costs, gain control over processes, improve regulatory compliance, streamline transaction processing and improve service quality. Metastorm BPM provides a framework for you to capture, execute, measure, and improve any type of business process – including both human-centric and system-based activities. With Metastorm BPM you can fully document your business processes and enforce consistent, repeatable business practices to:

- Improve agility and manage change –Mergers and acquisitions, competition, and changing customer and regulatory demands mean you must be agile and dynamic. Your ability to adapt front and back office processes to accommodate new products, partnerships and other changes can determine long-term success or failure. Metastorm BPM enables dynamic adaptation whenever and wherever required. You can integrate acquired products, technologies, and processes into your business, including those built on legacy platforms.
- Reduce costs and improve business execution – Metastorm BPM helps manage costs by making it easier and faster for process participants to work together to achieve your goals. It provides a single collaborative platform for people and systems to document, execute, and optimize processes, including complex processes that require many systems and people to complete. It enables straight-through processing and allows users inside and outside the organization to collaborate without learning another

application or user interface. Metastorm BPM also allows you to outsource elements of your business processes that can be performed by service providers at a lower cost.

- Retain customers by re-focusing channels to be more customer-oriented – Increasingly, customer expect that all of your products and services should be available via any channel they choose – from advisor to contact center to web site. Metastorm BPM enables you to take a consistent approach to providing products and services across all channels by aligning customer-facing and back office processes and providing the agility to bring innovative products and services to market ahead of your competitors.
- Improve governance and risk management with active compliance capabilities – Compliance is one of your most expensive and resource-intensive activities. Metastorm BPM enables you to embed compliance instrumentation into your business processes, gain real-time visibility of your compliance metrics, and adapt as compliance requirements shift.

Metastorm BPM has a proven record of success in the securities and investment industry. It has been used for process-based initiatives such as new account on-boarding, fund research, know-your-client compliance, and investor reporting.

MIM: Rapid and Cost-Effective Integration

Metastorm Integration Manager (MIM) can help you integrate and leverage your existing applications, databases, file systems, and mainframe programs.

Whether deployed as part of the Metastorm Enterprise suite or on its own, MIM provides a robust platform for:

- Designing, executing, and monitoring system-based processes
- Enabling high-volume secure Managed File Transfer (MFT) and providing a management dashboard for overseeing complex B2B file transfers across multiple file transfer systems
- Integrating mainframe and legacy systems into new and existing business processes via web services
- Enabling native integration to and system-based process management on IBM CICS systems
- Integrating data and systems following a merger or acquisition
- Delivering insight, governance, and audit ability for system-based activities.

The Value of Metastorm

Metastorm's software will help you better understand your business, gain control over your processes, instill governance and help you manage change. You can depend on Metastorm to help manage your processes and systems in a manner that provides:

- Regulatory compliance and automated audit capture
- Improved transparency, visibility, and understanding of enterprise goals and objectives

- More effective collaboration across internal and external parties
- Greater efficiency, improved productivity, and repeatable, enforced business practices.

For more information on how Metastorm solutions can help you, contact us at 1 877-321-META or sales@metastorm.com.

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