

Business Analysis **PORTFOLIO**



# Professional Portfolio

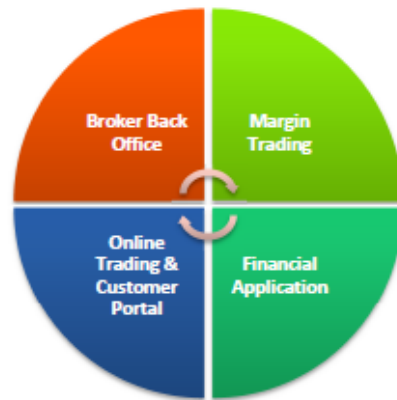
Sample

## SLD Broker Application

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The SLD broker application enables State Street to standardize and streamline their internal Broker operations.

The SLD broker solution comprises of four components:



These components are supported by State Street's Data Warehousing loosely coupled for custom made deployments utilizing data marts. The end user application design facilitates communication with third party applications and components through web services.

- **Single sign on** enables staff members to use cross application features & investors to access the customer portal & online trading operations.
- **Comprehensive finance** application takes care of the entire finance operation from investor settlements to administrative payments.
- **Web based environment** enables access to users from anywhere at any time, this reduces operational cost including deployment cost, communication cost and additional resource requirements.
- **The Integrated application setting** facilitates real time transaction updates and triggered warnings and alerts.
- **Inbuilt analytical tools** enhance analyzing capabilities, which helps to reduce the investor risk, services are accessible to investors through the customer portal.

## Broker Back Office Sub Application

The back office operation component is parameterized platform for managing total back office activities. Operation is structured into client management, advisor toolbox and application maintenance which is mainly used by The MIS Department. Component can be configured to retrieve trading information directly from trading platform or either from a day-end transaction text file.

In-built client operation management process workflow performs operations from Investor registration to client payments. The Customer portal enables investors to view the information on portfolio, account positioning. Analytical tools inbuilt within the application enable investors to forecast market movements.

Advisor toolbox equipped with numerous tools to analyze the market movements and advice investors resourcefully. User friendly environment allow advisors to trace multiple investor accounts, interface supports to customize interfaces according to brokers requirement.

**Automated workflow structure** requires minimal human interaction to complete activities. The fully automated investor payment process calculates the due amounts for investors periodically, and generates text files. Generated text files are compatible with NACHA banking systems, which allows settling of payments electronically.

Key features include:

- Equity portfolio valuation
- Client receipts & payment tracking
- Client exposure & credit control settings
- Client margin lending account monitoring
- Investor equity and cash settlement monitoring
- Advisor performance & client credit follow up
- E-mail notifications



## Margin Trading Sub Application

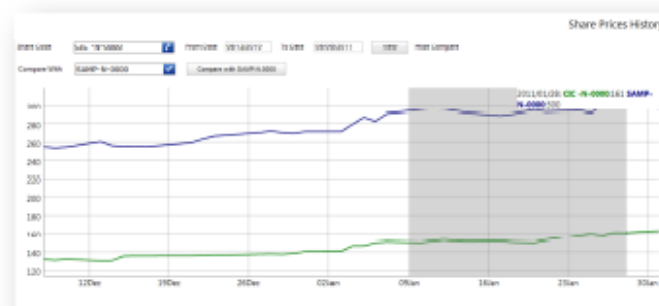
Margin trading application is a state of the art software solution built to drive business decisions. With expansions in equity markets globally, margin trading companies are increasingly playing a key role in providing required financial support and assistance to investors. The scalable Margin Trading provides a high performance solution to facilitate substantial trading volumes.

Margin Trading System encompasses accounting functions with a comprehensive integrated finance module, which also covers administrative payments of organizations. The turn-key Margin Trading solution provides inbuilt interfaces that can be easily integrated into any enterprise software system, such as banking and finance applications.

The Margin Trading Solution incorporates the functionalities of equity tracking, position tracking, stock exchange real-time data-feeds for collateral and position revaluation. The evolutionary technology used in developing the system allows flexibility in configuring real-time calculation of margin requirements. Margin Trading enables users to conduct real-time on-line checks against the current value of a client's collateral and company collateral. This functionality enables margin trading companies to enforce regulatory compliance and provides valuable information for the investor to dispose equity on a timely manner.

Salient Features of the system:

- Real-Time Collateral and Credit Limit Monitoring
- Pre-Trade Margin and Limit Checks
- Flexible and Comprehensive Collateral Management
- Margin Calls and Transaction Confirmations
- Scalable Architecture for Robust Performance and Very High Transaction Volumes



## Financial Management Sub Application

Financial Management gives a comprehensive view of broker finances from a variety of perspectives. The Finance Management component enables handling of client and administrative payments. Highly coupled finance application facilitates real time updates of financial records. The real time finance record update process benefits the organization in speedy client payment settlement, mitigating company investment risk and fittingly follows government rules and regulations.

Multi Company support enables to maintain separate business units such as branches and additional business areas such as margin trading. The component integrates with the Business Intelligence (BI) tool allowing users to drill down to the root level to find solutions.

Application enables maintaining of separate templates for financial statements. The feature is useful when creating statements for internal purposes & government regulatory bodies. The Separate check printing module to handle bulk client and administration payments, module is designed to integrate with corporate banking web sites to handle investor payments.

The sub application supports:

- Integrated client accounts
- Voucher creation & tracking
- Audit trails with detailed logs
- Contract notes & receipt generation
- Budget planning & review component
- Cash book & bank account reconciliation

The screenshot displays three overlapping windows from the Financial Management Sub Application:

- Application Registration Details:** A form with fields for Application Ref. Number, MT Account ID, Title, Details, Full Name, Last Name/Other, NIC, and Date Of Birth.
- Master - Stock Codes:** A window titled 'Stock Code Details' with fields for Company Code, Stock Type, Stock Code, Stock Name, Issue Number, Par Value, Issue Date, and Issue Quantity. It includes 'Save' and 'Reset' buttons.
- Contact Details:** A window showing a table of contact information and a form below it.
 

ID	Address Type	Name	Street	City	State	Postal Code	Tel.	Mo
101	Residence	Home	21, Puluhangura	Batambanulla	Colombo	10503	111840367	775
102	Office	Office	43rd Lane	Wellington	Colombo	10505	111700015	775
103	Residence	Home	21, Puluhangura	Batambanulla	Colombo	10503	111840367	775

 Below the table is a form with fields for Address Type, Street, City, State, Postal Code, Telephone, and Fax.

## Online Trading Platform & Customer Portal Sub Application

The online trading platform deploys in a truly web based environment allowing investors use it without any pre application installations. By sharing real time market statistics with inventors both brokers and investors, broker company reduces the operational cost with efficient resource management and investors are geared-up to make decisions individually and perform transactions rapidly. On the other hand advisors can serve more clients and more forces on high net worth inventors.

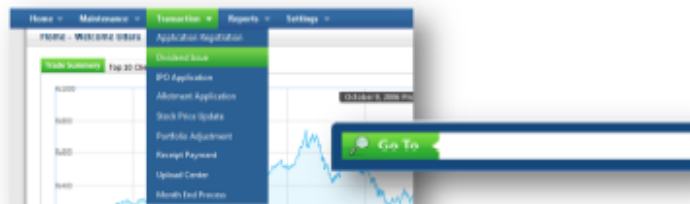
The system is equipped with customer portal which enable investors to communicate with brokers. Single-sign-on facility enable investors to access cross platform information, for instance margin limits, equity portfolios and account statements. In a ordinary application non online investors will not be able to view or download account statements, but with the customer portal in place all investors can access information online.

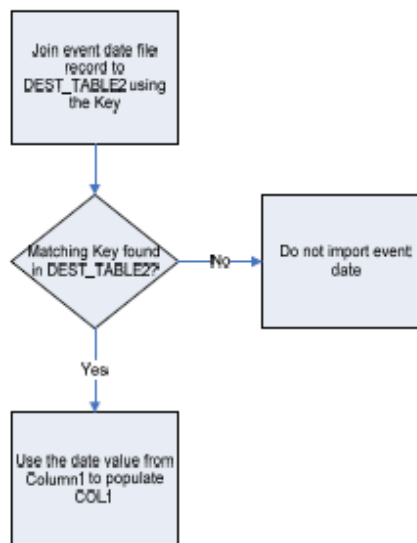
In-built strong analytical tools enable investors to vitalize the market movements and make accurate investments. Application equipped additional features such as bookmarks and my locations permits users to customize the user interface as according investors requirement.

To improve application security and assure increase in investor privacy application design had been configured with encryption keys. Inbuilt secure email box features enable investors to share information securely. Extended versions of this enable advisors to send messages through text messages or as PUSH services.

The system allows:

- Real-time access to the clients account information
- Investor Dash board with Analytical Tools
- Real-Time Portfolio and Credit Limit Monitoring
- Enter off-line orders while stock market is closed
- Ability to integrate Encryption Keys
- PUSH SMS Services



*Process Flow***Data Requirements****Inventory File****Data Frequency and Transfer Method**

- The Project Inventory file is submitted to the FTP server 999.99.999.999 on a daily basis. The file is in Unicode text file format with "|" (PIPE) character used as a field separator, zipped to facilitate transfer.
- The data load schedule documentation can be found in the IT Project SharePoint Site.

**Data Import Rule**

Import the record from the Project Inventory file only if the following criteria is met:

- There is a matching record found in the Project Items file, AND
- The matching record does not contain The Project Code = 000 or 999. The Project Code can be determined by accessing the Project Items staging table, and concatenating the values from the third, fourth, and fifth columns in the staging table.



## SLD Data Cleansing Requirements

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### Objective

The purpose of this document is to outline the course of actions to cleanse data in the legacy systems or in the corresponding staging area before it is loaded into SAP.

It defines general guidelines, which may be customized for each conversion object when detailed cleansing instructions are rolled out.

This is a living document that will be updated as Blue Print and Data Conversion decisions are made in the following weeks.

### Data Cleansing

Data Cleansing is the process of reviewing and maintaining legacy application data so that it can be converted into the SLD SAP solution without intervention at final conversion time. Data cleansing is one of the most important processes for data conversion.

Cleansing of the data must occur prior to loading it into the Production SAP environment. Loading poor quality data into SAP could result in incorrect business decisions and may be more difficult to correct later. As part of the SLD Deployment Strategy, legacy data must be cleansed before loading it into the SAP solution.

### Data Cleansing Guiding Principles/and Assumptions

- Legacy data must undergo data cleansing to improve quality, minimize data integrity issues, reduce data volume and extract-program run time.
- State Agencies will be responsible for cleansing master and transactional data to be converted to SAP
- If necessary, Agencies will be required to supply additional resources to complete high volume, low complexity manual cleansing activities
- Agencies will ensure that extracted data is validated before and after data are loaded to SAP
- An Agency data owner will be assigned for each conversion and will be responsible for the cleanliness of the source data to be converted
- It is the responsibility of the Agency data owners to communicate with one another to identify dependencies between cleansing efforts
- SLD Functional Teams will provide the SAP data requirements and the corresponding support to help Agencies to understand SAP data fields and map legacy systems data to SAP
- Work plan and metrics will be used by the Deployment SLD team to track progress over the course of the implementation

## SLD Transactional Data Cleansing objects in Scope for Agencies

BUSINESS PROCESS	CONVERSION OBJECT	SOURCE SYSTEM/INPUT FILE	DATA TO BE CLEANSED	RESPONSIBLE
General Ledger	GL Balances	STARS/Extract Programs or Excel Spreadsheet	Ending balances of last fiscal period before go-live date	Agency Finance Department
Accounts Payable	Vendor Open Items	Manual/Excel Spreadsheet	Outstanding vendor invoices	Agency Finance Department
Accounts Receivable	AR Open Items	Manual/Excel Spreadsheet	Outstanding customer invoices	Agency Finance Department
Procurement	Open Contracts	APS/Extract Program or Excel Spreadsheet	Contract Balances by go-live date	Agency Procurement Department

## General Cleansing Guidelines

- Data that can be cleansed in the legacy system without knowing SAP requirements

ISSUE	EXPLANATION	RESOLUTION
Duplicates	The same data entity (fixed asset, vendor, customer, etc.) is named two or more times in the same system.	Data cleansing is required. Flag one or more of the data elements so that it is not included in the "to be" extract file.
Obsoletes or inactive records	Data that is not up to date or no longer active. Obsolete data should remain in the legacy system since it is not needed in SAP. Example vendors no longer purchased from.	Data cleansing is required. The rules to declare a record obsolete is as follows: - Vendors: no activity in the last two years - Fixed Assets: Retired or scrapped Assets after X years - Customers: TBD - Bank Accounts: TBD - Projects: TBD - Grants: TBD Cleansing involves using a field in the legacy system to identify the record and use it to sort out these files when extracting data.
Incorrect Data	Inconsistencies that are related to typing or data entry errors - typical problems include spelling errors (e.g., Bank of America vs. Banc of America) and reference inconsistencies (e.g., 2 <sup>nd</sup> )	Data cleansing is required. Review file and correct manually. If the error is present in multiple records, there may be a way to correct this automatically. Consult with Agency Technical support.