

Gainers	Price	Change	%Change
AFC	172.55	▲+6.26	+3.76%
BPIRT	29.51	▲+1.05	+3.69%
GOH	42.03	-1.28	-3.14%
AITA	23.16	+0.63	+2.80%
JTAS	37.24	+0.96	+2.65%

Perfecting Securities Management

Aqua Global's e2gen product suite provides an institution with a comprehensive platform for improving the management of securities within a framework that easily facilitates continual change. This is important given the increasing amount of ongoing legislation as in the case of AIFMD, MiFID or market changes such as ISO 20022 messaging (e.g. MX for funds). Some of the advantages of using e2gen include:

- Reduced manual processes
- Reduced cost
- Reduced risk
- Improved accuracy
- Improved time cycles
- Improved audit and control
- Improved compliance
- Competitive pricing

1 Securities Orders & Trade Capture & Booking

This allows new securities orders and trades, subsequent amendments and cancellations from front end systems such as Triple A to be booked seamlessly within your back office system. e2gen can also automatically interpret and process messages from external services such as SWIFT. Any exceptions such as failed bookings are automatically monitored and reported to relevant personnel via user alerts.

2 Securities Settlement Message Production

This feature automatically produces fully formatted order, confirmation, settlement and payment messages that will be transmitted to appropriate services such as SWIFT (FIN or ISO 20022), SEPA or local clearing.

Message details can be augmented from Standard Settlement Instructions (SSI's) for 'place of settlement', 'safe-keeping accounts', 'agents' and 'custodians'. These can be granular to cater for the exact requirements of individual counterparties. Full cancellation processing is also included.

3 Securities Message Matching

This feature compares settlement messages received from various counterparties such as brokers and custodians with related messages produced by the bank's own system or the e2gen Securities settlement Message Production feature (see 2 above). Securities Message Matching can process messages in a wide range of standards, for example SWIFT or even bespoke formats. Any exceptions can be viewed via a management console enabling the early detection of problems.

The e2gen product can also automatically initiate workflow processes that can update the status of trades within the related back office system.

4 Asset Transfers

Customers that hold various types of securities or assets at a financial institution, may transfer part or all of these assets to a different organisation if they feel that this would lead to better management or financial gain. This may represent hundreds of individual assets for customers with large portfolios.

The e2gen 'Asset Transfer Module' (ATM) allows an institution to easily transfer existing assets to a new financial institution or allow new assets to be captured from another institution in a highly efficient way.

By automating most of this processing, manual effort and risk is reduced and audit and compliance is maintained. ATM will effectively control any increase in business volumes and automate the main asset transfer activities from managing the booking in the host back office system, to generating the necessary outward settlement messages (e.g. SWIFT). The Asset Transfer module will cater for domestic, foreign and internal transfers.

5 Message Management

e2gen Message Management (MM) is an integrated system for controlling all message types passing through your institution from a variety of services such as SWIFT, SEPA, local clearing, e-banking or even the proprietary internal standards of an organisation. This framework allows full control of transactions including full automation of processes based on the messages.

6 Sanctions Monitoring

Any asset instrument being transferred can be used for money laundering purposes. Payment, securities or investment transfer messages, such as the SWIFT MT54x series, can be screened to ensure that the ordering customers, receivers or beneficiaries are not named on any specific watch lists.

Should your institution require monitoring of security transactions, e2gen's Sanction Monitor (SM) enables the automatic checking of all electronic messages against a 'sanctions database' that can be loaded from external sources such as Accuity, Dow Jones, World-Check or OFAC. Internal lists can also be included. SM provides global monitoring for a branch network with centralised messaging services or alternatively it can provide an excellent solution for individual branches using their own messaging services.

7 Securities Reconciliations

e2gen Securities Reconciliations (SR) provides automatic reconciliation of securities positions and trades items using configurable rules. SR is fully scalable from a single general ledger and statement system through to a fully integrated multiple business requirement. SR can reconcile either security positions, individual trades or both.

SR significantly reduces the workload of reconciliation departments and achieves automatic matching well in excess of 90%. It allows users to concentrate on exceptions that are flagged using the exception processing functionality. Automatic routing of referrals and proposed matching by other business areas is available.

8 Holdings Reporting

e2gen's Holdings Reporting (HR) allows for the automated production of customised SWIFT securities positional and trade statements from both client and counterparty information held within one or more back office systems.

9 Document Management

Trades can often be initiated by customer instructions that are not electronic, such as a Word or PDF documents. Financial institutions have a regulatory obligation to store and associate these original instructions as part of the trade audit trail.

Aqua Global can provide a document management system that can integrate with documents used and produced by e2gen. The original documents can be found in seconds thereby improving responsiveness and customer service.

Achieve Your Ultimate Banking Solution

If you would like to arrange an obligation free consultation or for further information please contact Aqua Global on +44 (0)20 8544 3200 or [e-mail info@aquaglobal-solutions.com](mailto:info@aquaglobal-solutions.com)