thinkFolio

The multi-asset investment management platform

S&P Global
Market Intelligence

thinkFolio Is a Multi-Asset Investment Management Platform, Which Mitigates Risk, Increases Operational Efficiency and Supports Decision-Making by Investment Managers.

Firms can implement thinkFolio as an integrated platform or deploy it tactically to support various workflows, including:

- Portfolio management and analytics
- Trading and order management
- Cash management and FX
- Pre-, intra- and post-trade compliance
- IBOR

Client types

- Asset managers
- Family offices
- Hedge funds
- Insurance companies
- Pension funds
- Private banks
- Sovereign wealth funds

Asset classes

- Bonds
- Cash
- Deposits
- Equities
- ETFs
- Foreign exchange
- Funds
- Futures
- Loans
- Money markets
- Options
- Swaps

Key stats:

4,000+

users globally

$4 trillion+

combined AUM of clients

Key Benefits

Operational efficiency

Streamlines investment operations, cutting both complexity and cost

Risk mitigation

Reduces exposure to unsupported or unintegrated third-party and internal applications

User rights management enables workflows to be enforced

Connectivity

Flexible integration across data vendors, execution management tools, and middle- and back-office systems

Regulatory interfaces

Provides out-of-the-box interfaces to support MIFID II trade reporting requirements, UCITS and in-house regulations

Flexibility

Empowers fund managers and traders with the ability to model orders and make investment decisions

Reduced technical footprint

Creates a single platform for portfolio management, trading, cash management and compliance

Scalability

Managed service deployment allows firms to scale up (or down) their use of the cloud as their needs evolve

Access to Market Intelligence solutions

Integration with a range of our other products and services, including EDM and WSO

thinkFolio for Portfolio Management and Analytics

Flexibility

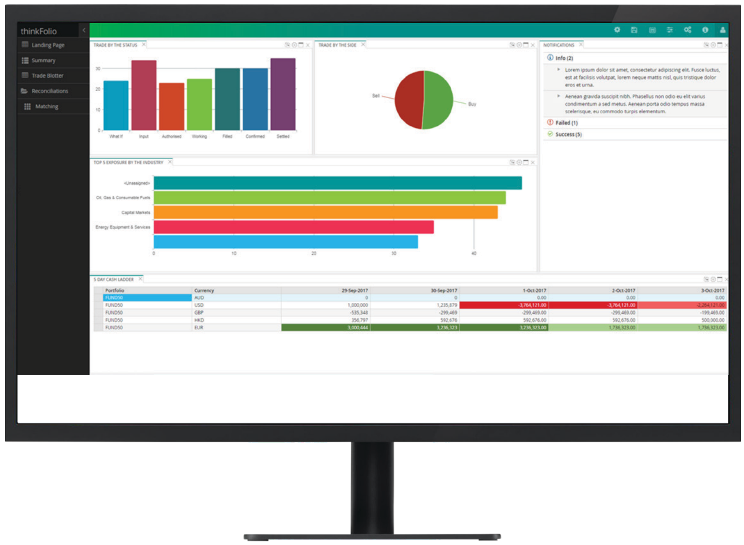
- Portfolio management views can be configured to support your investment management process
- Analytics can be set up to align with your view of a security and its underlying cashflows

Ease of use

- Views can be sliced and diced on the fly without the need for specialist IT support
- Tools have been designed for different areas of the portfolio management process

Ability to manage complexity

- The system is designed to allow the monitoring and implementation of investment ideas across multiple sets of portfolios in order to provide scale
- A broad product range for managing the complexity of instrument coverage



thinkFolio for cash management and FX

Visibility of cash

- Granular view of cash, including flexible cashflow forecasting that is easy to manage
- Cashflows form the foundational level of the system and are the basis for the analytics it creates

Integrated tools

- Cash ladders and FX functionality link directly to specific functionality for generating cash movements and trades
- Roll calculators, hedging tools and other functionality to make operational cash and FX tasks easy to perform and quick to implement

Integration with compliance

- Cash and FX tools are directly linked to the compliance functionality and can monitor balances over multiple settlement days in different accounts
- Cash management calculators take into account room in compliance rules

Cash ladder

The cash ladder provides a settlement-dated view of cash. It amalgamates cash data, including both loaded cash and cash which is being affected inflight by thinkFolio. It can take into account trades with different statuses and more/less conservative views of cash depending on the trade state.

thinkFolio for Trading and Order Management

Multi-asset coverage

- Order management workflows supported across all asset types, with the flexibility to configure blotters and workflows
- Workflow rules supporting straight-through processing and improved trader efficiency

Broad connectivity

- Flexible integration with EMS providers, platforms and venues
- Direct connections to brokers
- Connection to confirmation affirmation platforms (e.g. OMGEO CTM/ GTSS)
- Fully integrated real-time pricing from third-party providers

TCA and best execution

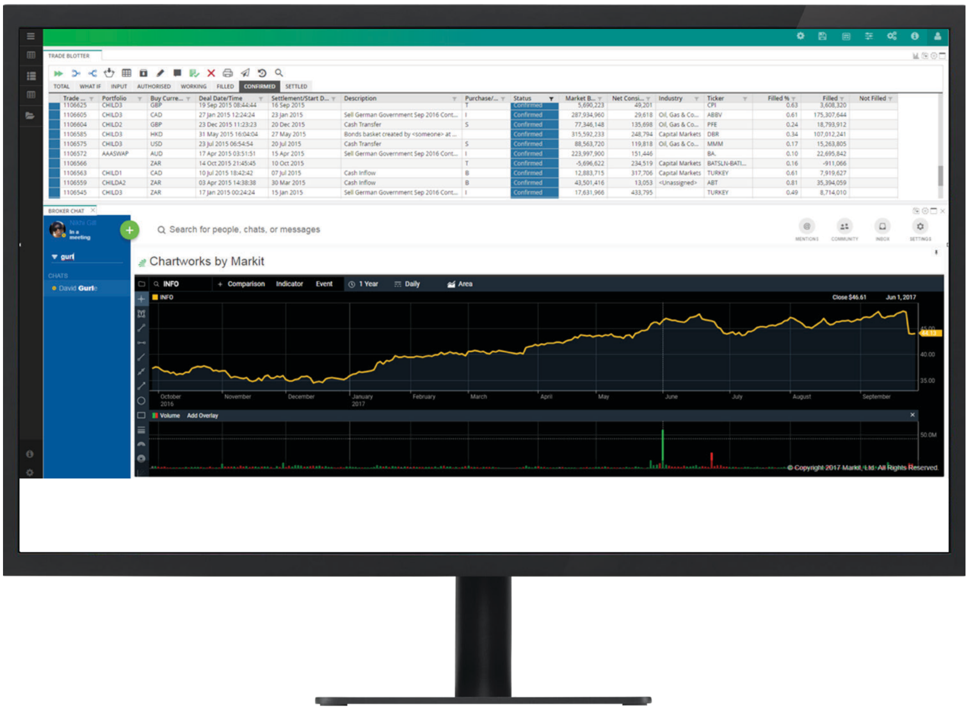
- Integrated with our TCA and best-execution solutions
- Standard exports for use by third-party TCA and best execution providers

thinkFolio FIX Network (TFN)

- Fully integrated access to the thinkFolio FIX Network
- Maintenance and upgrades of the FIX connections managed by Market Intelligence
- Support for a wide range of FIX message types, including allocations and fills, across multiple asset classes

MIFID II compliant

- Supports MIFID II requirements with direct access to APA via FIX for trade reporting
- Standard extracts for transaction reporting



thinkFolio as OMS for Execution

The most common deployment of thinkFolio for dealing is as an OMS for execution. All OMS activity takes place within thinkFolio. Execution activity may take place on an external system, with fill information and messages relayed to thinkFolio (typically via FIX) to keep the state of the trade updated. Once the trade has been completed, thinkFolio initiates the message to the back office.

thinkFolio for compliance

Templates

- An extensive library of rules to streamline pre-, intra- and post-trade compliance with regulations, client guidelines, house limits and portfolio managers' preferences
- Rules range from simple percentage to based-on analytics, benchmark comparisons, 5/10/40 rules, cash rules and many more
- Templates can be edited and customized as required

Ease of use

- Rules can be easily written by compliance users, leveraging drop-down menus that are populated with relevant options rather than coding
- User administration functionality, detailed audit trail of all actions and four-eyes checks

Breach reporting

- Compliance can be monitored and managed via dashboard
- Granular approach to limit breaches includes assessing the underlying exposures of composite instruments and derivatives
- Clear reports on rule breaches and easy-to-use breach-tagging and resolution
- Option of automatic reasoning codes and re-opens to enhance STP for larger firms

Regulation

- Support for regulatory requirements such as UCITs, 40 Act, Reg 28

thinkFolio for IBOR

Front-office focus

- Visibility of intraday positions, transactions and strategies delivered via front office-focussed IBOR
- Data can be summarized and integrated with other internal or third-party software applications

Flexibility

- APIs enable users to import and export data that is not native to the front office, such as audit fees, performance fees and non-investment data

Multi-asset-class coverage

- thinkFolio's coverage of multiple asset classes enables valuations across firms' complete holdings

Broad solution suite

- Fully integrated with our other products, including EDM and EDM Warehouse

Integration with other Market Intelligence products

thinkFolio is integrated with all major third-party execution providers, as well as our other products and services including:

- **Bond Reference Data:** deep terms and conditions data and new issue information
- **CDS Curve Data:** live, snapped and end-of-day price updates for CDS entities and all the major credit indices, CDX and iTraxx
- **Dividend Forecasting:** forecasts for next four years based on fundamental analysis, exchange rules, company guidance, historical patterns and more
- **EDM:** a data management platform that pulls disparate data from multiple sources into a central hub
- **EDM Warehouse:** data warehouse that stores historical data and makes it readily available for client and regulatory reporting requirements
- **Investor Access:** platform that allows investors to be alerted to new-issue announcements, receive information on deal terms and conditions, submit and manage orders, and receive electronic notification of allocation and pricing details
- **Loan Pricing and Reference Data:** pricing, terms and conditions, and corporate actions data for public and private bank loans
- **MarkitServ (interest rate swaps and CDS):** end-to-end trade processing and workflow solutions that support participants in cleared OTC trading
- **OTC Derivatives Data:** an independent, flexible service providing access to multi-sourced curve and volatility data for OTC interest rates
- **Portfolio Valuations (vanilla options):** an industry-validated, fully hosted service that provides independent valuations and risk measures
- **TCA and TCA Best Execution:** a global analysis platform that combines execution, algorithmic, venue and smart order router evaluation analytics
- **WSO:** an integrated set of loan portfolio software and services for tracking performance and managing portfolios

Managed Service

Firms can leverage thinkFolio as a managed service, which delivers the following benefits:

Cost containment

- Mitigate the cost, time and effort required for upgrades
- Reduce the fixed expenditure associated with hardware, applications and their management
- Free up resources to focus on revenue-generating activities

Flexibility and scalability

- Scale up (or down) your use of the cloud as your needs evolve
- Leverage off-site teams to introduce changes as required by the business

Short time to market

- Use a pre-built cloud environment to eliminate many of the time-consuming steps involved in a traditional deployment and achieve a greatly reduced time to market

Global staffing and support

- Access a global support team 24 X 7 X 365 and strong security, backup and disaster recovery functionality provided by both Market Intelligence and AWS

Managed Service Encompasses

Operations

- Exception trend analysis
- Exception automation
- Managing processing exceptions

Applications

- Integration
- New business rules
- New business workflows/dashboard
- Schedule changes
- Install and base configuration
- User admin and entitlement
- Interface management
- Performance tuning and archiving
- App patches and upgrades
- thinkFolio upgrade

Infrastructure

- BCP and DR testing
- Penetration testing
- Security and access
- Network monitoring
- Load balancing
- Backups and DR
- Windows and SQL patches/upgrades

S&P Global Market Intelligence

At S&P Global Market Intelligence, we understand the importance of accurate, deep and insightful information. Our team of experts delivers unrivaled insights and leading data and technology solutions, partnering with customers to expand their perspective, operate with confidence, and make decisions with conviction.

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