



CASH EQUITY CLEARING, MIDDLE & BACK OFFICE OUTSOURCING

BANKS & BROKERS

CACEIS provides efficient and reliable clearing and settlement with extensive custody and outsourcing solutions for corporate and investment banks and brokers. Our extensive experience as well as our flexible technology enables a high level of service automation allowing clients to focus on trading activities.

CHALLENGES AND OPPORTUNITIES

CACEIS offers a Pan-European coverage for cash equity on-exchange and Multilateral Trading Facilities (MTFs) with access to related Central Counterparties (CCPs) and a worldwide sub-custodian network supporting your trading activities and covering over 80 markets.

CACEIS allows you to focus on trading while we handle all post-trade activities in the rapidly evolving capital markets and regulatory environment.

CASH EQUITY CLEARING: EXPERTISE AND CUTTING-EDGE TECHNOLOGY FOR HIGHLY AUTOMATED SERVICES



TRADE MANAGEMENT

- Direct feed of on-exchange trades from the market (no settlement instructions required)
- Convenient upload of OTC settlement instructions for all offered settlement markets using various formats:
 - Proprietary file or Swift-like format via OLIS or via SFTP
 - Swift-format via Swift
- Efficient processing, validation and enrichment of your transactions

BESPOKE SERVICE DESIGN

Each of our clients selects a service level

- Clearing & settlement only
- Global custody services
- Full outsourcing of middle and back-office processes.

CACEIS, GENERAL CLEARING MEMBER FOR CASH EQUITY CLEARING

- General Clearing Member (GCM) for the cash equity clearers: Eurex CCP, LCH Clearnet SA, LCH Clearnet Ltd. (via partner), SIX x-clear, CC&G, EuroCCP and CCP.A
- For Non-Clearing Members, facilitation of trading on stock-exchanges or Multilateral Trading Facilities (MTFs) by handling the Clearing and Settlement of CCP and non-CCP trades

CSD/SUB-CUSTODIAN NETWORK

- Settlement of on-exchange and OTC transactions (DvP/ RvP and FOP) in more than 80 markets across the world
- Direct connections to CSDs and ICSDs for more efficient settlement
- The opportunity to determine preferred way of settlement depending on business and asset class
- Real-time transaction processing and related settlement
- Turnaround trades and same day settlements

SETTLEMENT INTERNALISATION

- Cost reduction for common CACEIS client settlements

RISK MANAGEMENT

- Monitoring open trade positions and agreed facilities
- Providing customised risk reporting
- Managing margin calls by optimised Collateral Management

MARGIN FINANCING

- Providing collateral to CCPs based on trading activities
- Finance margin calls in the context of overall activity profile using a business-oriented risk management approach

REFINANCING SERVICES

- Financing trading activities based on contractual settlement and within limits approved by CACEIS's risk management division

MIDDLE & BACK OFFICE OUTSOURCING: PROVEN FLEXIBLE SOLUTIONS TO INCREASE EFFICIENCY AND REDUCE COSTS



ENRICHMENT OF SETTLEMENT INSTRUCTIONS

Management of Standard Settlement Instructions (SSI) and STP enrichment with your settlement instructions and those of your counterparties.

MAINTAINANCE OF SSIS

- Assuring quality and put in place standard settlement instructions (SSIs) with related client counterparty data.
- Delivering the data via your preferred interface direct to your systems

SETTLEMENT OF SECURITIES LENDING AND REPO, PLUS COLLATERAL MANAGEMENT

CACEIS has dedicated settlement teams to process:

- Bilateral settlement for repo and securities lending or via tri-party agents according to specific market and country rules
- Collateral management service

MANAGEMENT OF OPEN SETTLEMENTS

- Handling communication with counterparties to ensure efficient and timely settlement
- Monitoring and resolving unmatched settlements
- Agreement on partials and nettings to increase settlement efficiency

TRADE CONFIRMATION

- Matching of trade and settlement details provided by the client and broker
- Sending trade confirmation to counterparty via email, fax, post, or directly to Omgeo

CONFIRMATION MATCHING

- Settlement pre-matching of trades executed between the client and broker.
- Matching trade instructions and broker confirmations every day to validate positions and ensure efficient settlement

TRADING RECONCILIATION

- Reconciliation of trading and back-office positions
- Clarification of any inconsistencies



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