



# Fundsphere® Compliance TA

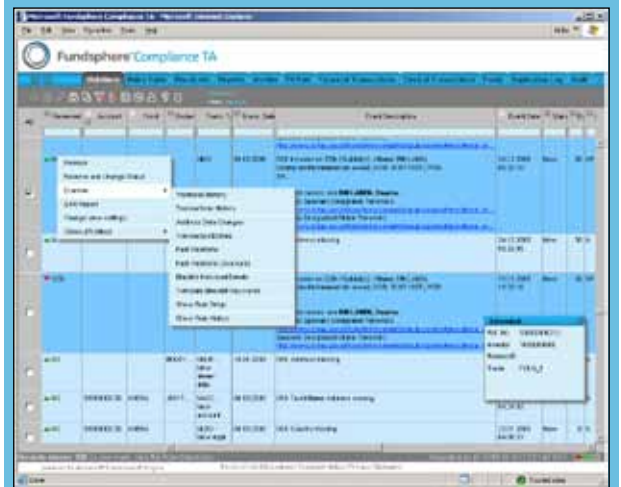
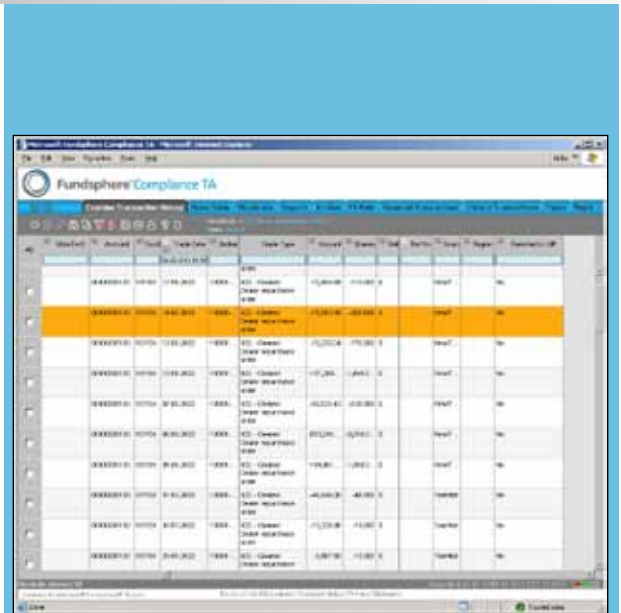
Fundsphere Compliance TA is a TA AML and KYC compliance, fraud attempt detection, and anti-money laundering system that delivers the full spectrum of tools needed for effective Transfer Agency compliance. Its detection engine oversees TA data in real-time, automatic batch mode, or manual mode and provides effective blacklist scrubbing, fraud alerts, and account behavioral analysis. Fundsphere Compliance TA has a web-based interface and facilitates white labeling with full multi-level security that is fully configurable by the system administrator.

## FUNDSPHERE COMPLIANCE TA FEATURES:

- Enables effective compliance with global AML requirements and local AML laws.
- Allows for KYC compliance and processing.
- Helps detect investor, broker, or staff fraud attempts in real time.
- Provides various operating modes: real-time, scheduled batch, or manual runs.
- Maintains a complete accumulated history with a full audit trail.
- Supports multiple blacklists with automatic updates (where available) and their management.
- Allows for transaction aggregation over time when applying AML rules.
- Applies condensed string logic and other techniques to test for spelling variants of names and addresses.
- Generates and populates forms required by authorities and/or automatically uploads reports to authorities.

## FUNDSPHERE COMPLIANCE TA BENEFITS:

- Significantly lowers compliance cost and off-loads the back office by automating most tasks.
- Built-in workflow functionality allows for segregation and division of tasks, thus guaranteeing efficient and secure data flow between organizational units and/or individual employees.
- Unlimited number of diverse sets of blacklists and/or behavioral rules can be enabled for different domains (clients, domiciles, fund promoters, funds).
- Allows for periodic (e.g. overnight) automatic scanning of register data against changes in blacklists.
- Meets changes in compliance requirements with reconfiguration, eliminating the need for another system.
- Allows for flagging of false positives, preventing recurring reporting unless a relevant change occurs in the account or a blacklist.
- Provides powerful, user-friendly drill down into relevant financial and administrative transactions and historical details.
- User interface enables unlimited sorting, filtering, and customization of views with the ability to save user profiles.



**VISION. STRATEGY. EXECUTION.**

[*vision*] - the act or power of imagination

[*strategy*] - the art of devising or employing plans or stratagems toward a goal

[*execution*] - the act or mode or result of performance

# Fundsphere® Platform

The Fundsphere Platform is designed to meet the complex requirements of today's Transfer Agent. Fundsphere, interfacing with multiple core TA systems, is specifically designed to support the global distribution of Mutual Funds.

#### FUNDSPHERE ALLOWS USERS TO:

- Access multiple integrated applications on a single platform – thus reducing the overhead costs of complex TA surround technology.
- Lower their costs and increase efficiency.
- Reduce operational and regulatory risks across operations.
- Expand their product offering.
- Offer superior service to promoters, distributors, and investors.

#### FUNDSPHERE TECHNOLOGY.

- Standard – corporate IT policy compliant.
- Modern – current Financial Industry technology.
- Scalable – independently stress tested.
- Secure – independently ethical hacked.

#### FUNDSPHERE WORLDWIDE.

- In production in financial centers in the Americas, EMEA and APAC.
- Time zone independent 24\*7\*365 support.

#### FUNDSPHERE BENEFITS:

- Ease of use, ease of administration, configuration, and maintenance.
- Anytime, anywhere access to the applications via secure thin browser interface.
- Rapid rollout of the new clients with no installation required on the client side.
- Full and secure segregation of data between clients – even if the back-end TA system does not support it.
- Powerful, user friendly data mining and on-line reporting capabilities.
- Variable functionality and features in a single installation based on login group entitlements.
- Multiple branding/white labeling configurable as needed.
- Full audit trail.



Metrosoft empowers global TA players with solutions designed for the asset servicing industry. Fundsphere, a highly scalable, secure, segregated, and white-label internet platform ensures increased client satisfaction, risk reduction and measurable operational efficiency gains. The platform, using only browser client, delivers valuable self service in key business areas to all players in the TA value chain. Fundsphere interfaces with major TA systems and is in production in the Americas, Europe, and Australia.

Metrosoft offers in-depth expertise in the TA business resulting from over 10 years of experience working with blue-chip clients across the globe. Its proven ability to bridge business and technology has helped these clients to effectively solve regulatory, compliance, transparency and core business issues.

Headquarters:  
Metrosoft, Inc.  
299 Market Street  
Saddle Brook, NJ 07663, USA  
Telephone 1 201 291 6555  
Facsimile 1 201 291 6510

EMEA:  
Metrosoft Polska Sp. z o.o.  
Al. Jana Pawła II 41C  
31-864 Krakow, Poland  
Telephone 48 12 394 7200  
Facsimile 48 12 394 7210

metrosoft.com  
info@metrosoft.com

Copyright © 2009 Metrosoft, Inc. All rights reserved. Information contained herein is subject to change without notice. Metrosoft® and Fundsphere® are registered trademarks of Metrosoft. All other mentioned product and company names are trademarks of their respective owners.