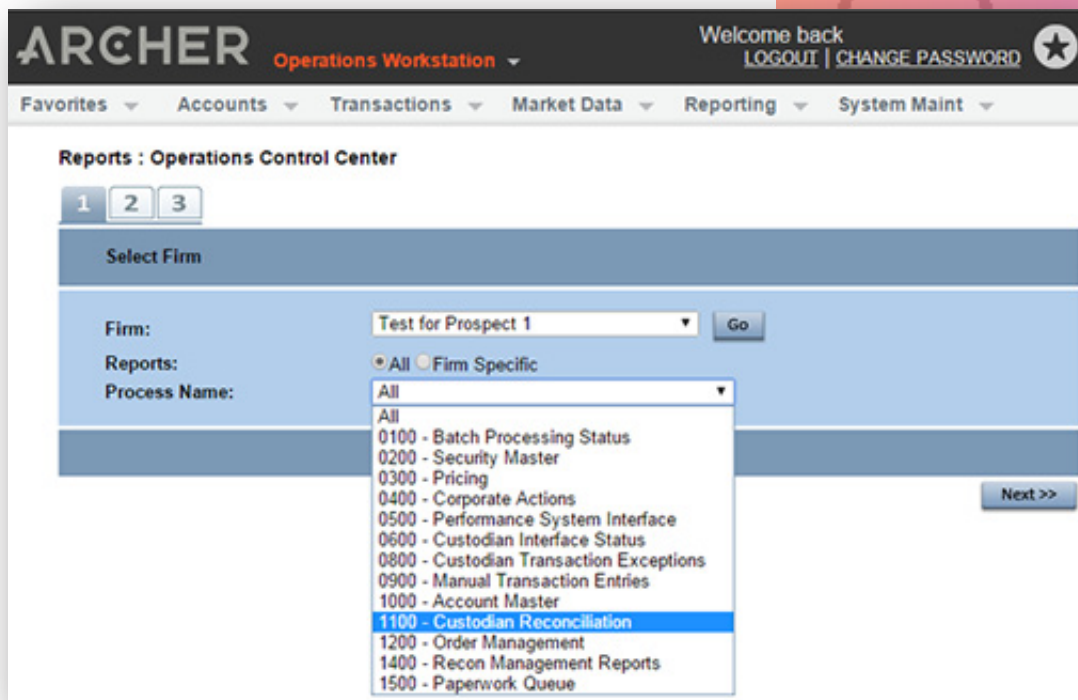


**T**HE OPERATIONS CONTROL CENTER of Archer is a powerful tool which allows for an in-depth status audit of key operations. Reports alerting you to data and systems interface issues assist in the prioritization and troubleshooting of your operations workflow, regardless of whether your investment operations are handled exclusively in-house, exclusively by Archer Ops, or selectively shared between your firm and Archer Ops. The Operations Control Center (OCC) allows you to:

- > Ensure traders are working with accurate cash and securities position information for every account through reconciliation, batch processing, and custodian interface reports
- > Troubleshoot potential core data issues with security master, pricing, and corporate action processing reports
- > Maximize the number of accounts in ready-to-trade status with new, pending, and missing account reports
- > Minimize errors with trade execution, open order, and portfolio model reports
- > Maintain accurate performance records with performance system interface and manual entry reports
- > Prioritize workload with Paperwork Queue status reports

The Archer Operations Control Center provides transparency across business lines and operations functions, supporting the industry's highest standards for investment management compliance and governance.



Ensure traders are working with accurate cash and securities position information for every account through reconciliation, batch processing, and custodian interface reports.

- ✓ 0100 - Batch Processing Status
  - ✓ Custodian Download - Missing or Empty Files Part 1
  - ✓ Custodian Download - Missing or Empty Files Part 2
  - ✓ Rejected Message Log
- ✓ 0600 - Custodian Interface Status
  - ✓ Custodian Transaction Count
  - ✓ Custodian Holdings Download
  - ✓ Custodian Pricing Download
  - ✓ Custodian Account Download
  - ✓ Custodian SMF Download
  - ✓ Custodian Tax Lots
- ✓ 1100 - Custodian Reconciliation
  - ✓ Reconciliation Status - Part I
  - ✓ Reconciliation Status - Part II
  - ✓ Reconciliation - Discrepancies by Security
  - ✓ Reconciliation - Aging
  - ✓ Unreconciled - Over 1 Month
  - ✓ Custodian Adjustments - Same Security/Account

- ✓ 1000 - Account Master
  - ✓ Missing Accounts - Multi-Firm
  - ✓ Missing Account Profiles
  - ✓ Re-Opened Accounts
  - ✓ Terminate Account Performance
  - ✓ Closed Accounts On Custodian Feed
  - ✓ Possible Terminations - Market Value Test
  - ✓ Pending New Accounts over 30 Days
  - ✓ Household Billing Issues
  - ✓ Pending New Accounts with Value

Maximize the number of accounts in ready-to-trade status with new, pending, and missing account reports.

Minimize errors with trade execution, open order, and portfolio model reports.

- ✓ 1200 - Order Management
  - ✓ Orders with Excess Shares Received
  - ✓ Open Orders Created Prior to Effective Date
  - ✓ Equity Trades with no Order
  - ✓ Execution Price Validation
  - ✓ Execution Price Validation II
  - ✓ Execution Price Validation III
  - ✓ FX Spot Validation
  - ✓ Portfolio Model Import Validation
  - ✓ Portfolio Model Synch Validation
  - ✓ Risk Metrics Validation

- ✓ 0200 - Security Master
  - ✓ Update Security Master Status
  - ✓ Update Security Master Ticker
  - ✓ Update SMF Codes
  - ✓ Review Mutual funds and ETF Codes
- ✓ 0300 - Pricing
  - ✓ Pricing Summary Status
  - ✓ Inactive Securities
  - ✓ Missing or Rolled Prices from Effective Date to Process Date
  - ✓ Missing Exchange Rate
- ✓ 0400 - Corporate Actions
  - ✓ Enter Manual Announcements
  - ✓ Apply As Of Cash Dividends
  - ✓ Apply As of Splits
  - ✓ Splits on Options
  - ✓ Apply Stock Dividends
  - ✓ International Corp Actions
  - ✓ Enter As of Announcements

Troubleshoot potential core data issues with security master, pricing, and corporate action processing reports.

- ✓ 0500 - Performance System Interface
  - ✓ Client Reports Update Date
  - ✓ Rejected Transactions - Performance
  - ✓ Missing Benchmark Index Data
- ✓ 0900 - Manual Transaction Entries
  - ✓ Stock over the Wire
  - ✓ Missing SMF
  - ✓ Missing Cost - Muni Bonds
  - ✓ Cash In Lieu
  - ✓ Missing MBS Factors
  - ✓ Manual TIPS Entry

Maintain accurate performance records with performance system interface and manual entry reports.

**Archer Ops Tip:** Best practices among operations leaders include daily review of the Operations Control Center reports, and follow-up on any potential data or interface issues.