WORKFLOW TOOLS: INCREASING EFFICIENCY

FOCUS ON MEETING INVESTMENT OBJECTIVES

When the investment management workflow is well orchestrated and successful practices are repeatable, team productivity increases and operational risk decreases. This frees investment managers to focus on meeting clients' investment objectives.

Archer's customizable workflow tools and Archer Operations are uniquely qualified to help improve efficiency, with a workflow framework that launches alerts, guides users through best-practices, automatically records audit trails of activities, and provides full transparency to the investment management process.

Our workflow tools help teams to hone in on the accounts, requests, trades, and models that need immediate attention. Tools such as our exclusive Paperwork Queue and Center, customizable Trade Blotter and Trade Dashboards, robust Model Workstation, and continuously refreshed Account Selection Tool provide status assignments, automated notifications and audit trails. These tools eliminate distractions and allow the team to quickly respond to investor needs and requests.

When Archer Operations is tasked with your day-to-day middle office operations, the oversight enabled through Archer workflow tools facilitates communication between your team and ours, provides complete transparency to the investment management process, and smooths the hand-off of tasks across investment operations teams.

Paperwork Queue: Track Activity and Store Related Documents

Status indicators on Paperwork Queue items assist the team in identifying and completing next steps in meeting client needs. For example, when a new account application has been received, the document can be attached to the account record and given a status of "Pending Approval." Upon review and approval, the item can be marked as "Approved," alerting another area to confirm all holdings. When the new account has been confirmed, it can then be marked as "Ready to Trade," alerting implementation teams to invest the account.

When a withdrawal request is received, a copy can be added directly to the account

record. If an account has a new restriction request, a copy of the document can be attached for later reference during audits or performance composite verifications.

The Paperwork Center provides a convenient method for searching across all of a firm's accounts to quickly find information. Fields such as Paperwork Type and Status can be used as a built-in, real-time workflow monitor. At each step, comments and notes can be added to a paperwork item, ensuring clarity and confirming task completion. And the Paperwork Dashboard allows executives to track volume trends and types of paperwork activity throughout the firm.

Model Workstation: Alert Team to Model Changes

When changes are made to portfolio models through the Model Workstation, Archer auto-generates an email to implementation team members with specific instructions regarding the changes. Buy Up, Sell Down, price limits, and further implementation instructions may be included. Cross-functionality between the Model Workstation and Archer Order Management reduces risk when implementing model changes by automatically loading model securities and weights when building model change implementation orders.

The workstation also provides transparency into the model maintenance process. A robust history of model changes, a record of the implementation status for each change, and a robust reporting menu facilitate oversight of the model process.

Account Selection Tool: Proactively Identify Accounts to Trade

In addition to automated Paperwork and Model notifications, traders can proactively manage their workflow by using the Account Selection Tool on demand to adjust accounts for drift, cash requests, and select portfolio characteristics such as non-holders of a particular security. This proprietary Archer function creates temporary groups of traded accounts, enabling traders to follow-through on executions and monitor their results in traded accounts.

Trade Blotter: Monitor, Adjust, and Advance Trades

The Archer trade blotter provides a firmwide view of trades, and blotter views may be adjusted to show, for example, only trades for a particular contra party, only trades for a particular custodian's account, or only trades in a particular account group. When trades on the blotter are filtered by status, bulk operations are enabled and trade status may be advanced.

Trade dashboards allow for continual oversight of trade execution status as well as a view of trading trends by security, counterparty, and by direction.

Service Ticketing: Fully Archived Communication Tool

The Archer service ticketing system enables secure communication between your team and ours, increasing the efficiency of new account flows, deposit/withdrawal requests, tax harvesting instructions, trade troubleshooting, reconciliation workouts, and corporation action notifications. Tickets are automatically directed to the appropriate Archer Operations team, speeding our responsiveness to your requests, and your responsiveness to your clients, custodians, and trade counterparties.

Operations Control Center: Set Daily Priorities

The reports in the Archer Operations Control Center help investment management teams set their daily priorities. Are any funded accounts awaiting activation? Have all of the custodian interface files been received? Are models and restrictions being impacted by corporate actions or terminated securities? The Operations Control Center provides transparency across business lines and operations functions in support of the industry's highest standards for investment management compliance and governance. Whether monitored by the investment management team or by Archer Operations, the Operations Control Center improves the efficiency and effectiveness of the investment management process.

ALERT AUTOMATIONS. GUIDED BEST PRACTICE STEPS. AUDIT TRAILS. DOCUMENT REPOSITORY. WORKFLOW-ON-DEMAND. OVERSIGHT TOOLS.

HELPING INVESTMENT MANAGERS FOCUS ON INVESTING. ARCHER.