EMC SOLUTIONS FOR ASSET MANAGEMENT FIRMS
Gain efficiency and profitability across the investment management lifecycle

ESSENTIALS
- Technology and Operations Strategy and Roadmaps
- Compliance, Risk, and Security Management
- Quality Assurance, Testing, Process Re-engineering, and Optimization
- Data Management and Analytics
- Client Reporting and Performance Management

BUSINESS CHALLENGES
The asset management industry is in a state of flux due to the turbulent global economic and regulatory environment of the past few years. The increasingly complex global financial markets give rise to uncertainty and volatility. As investment managers strive to seize opportunity in a fast-paced and ever-changing world, they are placing greater demands for product innovation, more efficient operations, and more robust technology platforms. As a result, firms are assessing new channels to expand client relationships and enhance products and services, while seeking new technologies to improve information access and security as well as functional flexibility to support different lines of business. Opportunities and challenges abound in five key areas:

- **Front Office Optimization**—Many firms are slow to replace, enhance, or upgrade their existing front office support tools because of high cost, disruption to business, and lack of in-house expertise, even when new technologies and better processing flexibility become available in the market. In this low-yield economy, asset managers must accelerate trade workflow automation and real-time transactions management while managing risk and exposure more closely to generate greater return with lower risk.

- **Data Management**—Grappling with the increasing volumes of data span across clients, investment products, and services, asset managers require new tools to analyze data from social content, market, and transactions to generate actionable insight and alpha ideas. Additionally, the onslaught of new regulations and pressing calls for transparency calls for greater focus on risk exposure and real-time information delivery, with improved data stewardship/governance functions and cost efficient data acquisition, enrichment and transformation.

- **Middle Office Operations / IT Transformation**—After years of cutting back on capital spending, operations and staff, financial firms must consider new technology trends of cloud computing, Software as a Service, Big Data, and mobile to tackle the much needed overhaul and modernization of their IT systems. Increasing revenue pressure also requires IT managers to look beyond the traditional enterprise applications and introduce disruptive new technologies so that they can provide their business with superior capabilities.

- **Client Experience**—While social media and mobile technologies have evolved to provide easier ingestion and access to information and richer user experience, financial firms yet to capitalize on the opportunities to get to know their customers better and service them well. Capturing, storing, and
processing relevant customer data and market intelligence through multi-channel services, and delivering right content and offering at every point of interaction, will yield highest return for customer satisfaction and loyalty. In turn, this will become the differentiator for firms to drive higher growth and profits.

- **Compliance and Risk Management**—The proliferation of web-based apps, cloud services, and mobile technology continues to challenge IT, information security, and risk managers at every financial institution. The heightened security concerns surrounding financial firms' interconnected systems and mixture of technology platforms and devices will require formal process and controls to protect sensitive information, intellectual property, and their employees and clients. Complex regulatory environment also demands a more comprehensive pre-and post-trade compliance and risk management framework for the buy-side firms.

### EMC SOLUTIONS FOR ASSET MANAGEMENT FIRMS

EMC's financial services asset management experts combine extensive industry and technology experience, skills, and reusable assets across the investment management lifecycle covering asset gathering, management, and servicing. We offer a suite of solutions that address your industry-specific asset management and securities challenges. These include:

#### TECHNOLOGY AND OPERATIONS STRATEGY AND ROADMAP

EMC® works with you to review your business processes, IT organizations, and impacted business units to identify "pain points" as well as functional and technical gaps in the current state. We then develop and implement an actionable roadmap to realize the future state vision encompassing optimal interactions among people, process, and technology. Our strategies address your challenges to transform IT and Operations as an essential organization-wide imperative in winning, and effectively managing, business in the competitive marketplace. Our proven and industry-recognized approach helps accelerate the transformation process while moving technology forward to meet your ever-changing business needs and enable you to deliver solutions to the business faster.

#### PRODUCT EVALUATION AND IMPLEMENTATION

Using our proprietary methodology for product selection, including Requests for Information and Requests for Proposals (RFI/RFP), EMC can help you select and implement leading financial technology products for the key functions across the investment management lifecycle such as trade order management, portfolio accounting, performance attribution, data warehouse, data mart, and client statements and reporting. We introduce the platform, application, and delivery options (private cloud, hosted, installed) that best fit your needs and unique environment, help you manage your implementation priorities, and enable you to migrate smoothly from legacy applications and database to avoid business disruption and prohibitive costs.

EMC provides expertise in a wide range of project management and system development lifecycle activities including program management office, requirements definition, data analysis, development, and product release management. Our skilled practitioners will define the appropriate project management framework and governance approaches; provide onshore and offshore delivery, resource planning, configuration and integration, testing, training expertise; and assist you with new functionality and upgrades from third-party vendor releases.
QUALITY ASSURANCE AND TESTING
EMC combines expertise in quality assurance (QA) processes with industry domain knowledge across the complete asset management lifecycle. Our QA and testing services ensure the accuracy of data, account, transactions and provide the ability to handle increased volume in multiple testing environments. End-to-end testing services span across functional, regression, performance, offsite/offshore, and automated testing, leveraging a variety of industry standard toolsets.

PROCESS RE-ENGINEERING AND OPTIMIZATION
Enterprise adoption of cloud is creating better integration and workflow services for mission-critical business applications on a single or multiple distributed platforms as more and more companies are using cloud solutions to reduce costs and complexity. EMC brings strong domain knowledge and functional expertise to assist you with re-engineering of enterprise data, applications, and workflow, providing development of “as-is” and “to-be” data/application architecture, and redesigning process flows that allow business and operations to maximize efficiency, agility, and productivity.

DATA MANAGEMENT AND ANALYTICS
EMC establishes and extends enterprise data solutions, ranging from consolidated to federated models, with implementation of third-party software or data services. Our industry experts can develop and implement data stewardship and data governance programs that support compliance with FINRA 17 a-4, SEC, and other regulations. We can also provide recommendations around the enabling infrastructure, technologies, and/or open source systems to help you build out modern, Big-Data-ready information architectures that meet both business needs for deeper analytics and the firm’s innovative vision.

CLIENT REPORTING AND PERFORMANCE MEASUREMENT
Demands for report flexibility, ad-hoc reporting, and transparency are driving the needs for more robust client reporting and performance technology as well as intuitive, easy-to-use workflow for data reconciliation, internal and external data aggregation, daily and monthly performance drill down. EMC works with you to develop integrated reporting functionality, especially around investment performance and account aggregation. We bring the knowledge and expertise throughout the information delivery lifecycle, including enhancing the client experience across multiple channels (online, statements, reporting packages, etc.), redesigning client statements, and integrating client reporting and performance vendor products with the enterprise data warehouse or data mart.

COMPLIANCE AND RISK MANAGEMENT
EMC’s compliance and risk management practitioners can design, deploy, and support the management of solutions covering a variety of risk areas from various industry-specific regulatory obligations including Dodd-Frank requirements, Sarbanes-Oxley and Know Your Customer, Anti Money Laundering, as well as operational, market, and pre- and post-trade compliance. Our Governance, Risk and Compliance (GRC) services include compliance process definition, content and document management, management reporting, continuous audit and management of compliance initiatives, and risk and regulatory reporting.

BIG DATA ANALYTICS
Big Data is leading the pack of technology paradigm shifts in financial systems in the 21st century, and Data Scientists—not technologists—will lead the next wave of
discovering market efficiencies. EMC’s Big Data Analytics service can help the way you do business and services. We work with you to develop superior analytics and data mining models to glean intelligence that will help you lead in areas of research, analytics, trading, risk management, and client relationship management.

**EMC GLOBAL SERVICES DELIVERS RESULTS**

EMC Global Services enables customers and partners to transform IT, realize the agility and efficiency of a trusted cloud, and capitalize on the competitive advantage of Big Data. Our 15,000+ services experts worldwide, plus global network of partners, deliver the skills, knowledge, and experience organizations need to accelerate their cloud, Big Data, and trust initiatives and get the maximum value from their EMC technology investments—with an unending commitment to an exceptional total customer experience through service excellence.

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**CONTACT US**

To learn more about how EMC products, services, and solutions can help solve your business and IT challenges, contact your local representative or authorized reseller—or visit us at www.EMC.com.