

Misys Eagleye

## Monitor, control, comply

In today's increasingly regulated markets, the burden placed on financial institutions continues to grow. All financial institutions recognise that the need to control their credit, market and operational risks is key to achieving compliance with the raft of mandates, regulations and standards imposed upon them. And to do that, they need to monitor a vast array of rules, limits and events.

Against this backdrop, many existing IT systems can only perform automated checks on an average of just 65% of all rules - which means that risk and limits monitoring and reporting is being dealt with manually at a huge cost to financial institutions. Moreover, the lack of sufficient systems can also result in organisations suffering reputation damage due to non-compliance and undetected trade fraud.

Misys customers can ensure that they do not expose themselves to such risks with an 'out-of-the-box' real-time monitoring solution that is flexible to bank specific rules. With proactive management of exceptions and immediate alerts of any discrepancy, issues can be resolved before loss of reputation and cost penalties are incurred.

With a realtime dashboard providing a high level snapshot on the essential information for decision makers, it ensures complete control of internal policies, limits and industry regulations resulting in less exposure to credit, market and operational risk.

### A powerful and flexible rules engine

Misys Eagleye enables users of all skill levels to define a wide variety of rules and limits, ranging from the simple to the extremely complex. Because the system uses a building block approach, rules and limits can be defined without the need for technical knowledge or coding. Rules can be simple checks against a condition, an absolute number or a percentage, or more complex comparisons with previous results or other data held within Misys applications or those from other vendors.

**Misys Eagleye enables** an immediate response to any breach by allowing users to define alerts that are automatically sent to key personnel via email, SMS or desktop alert.

Sample monitoring applications include:

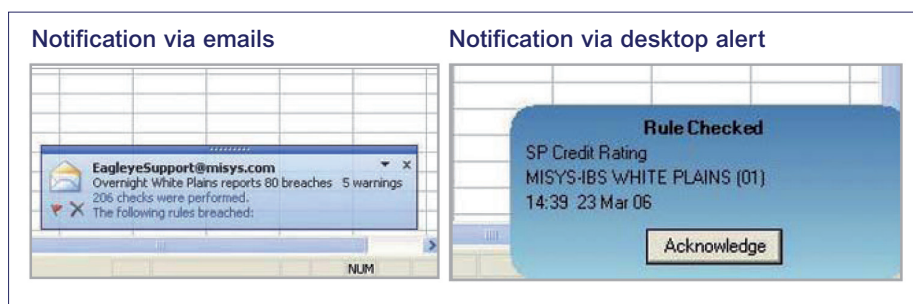
- + Compliance rules – monitoring local or international regulatory rules and limits that determine the types of trades a financial institution can make
- + Inventory limits – governing the types and/or amounts and proportions of assets that can be held in a portfolio
- + Exposure limits – ensuring that exposure to countries, currencies, customers, industries or market changes (gap analysis) remains within prescribed limits instructions or customer details. Monitoring market risk against transactions or portfolios.
- + Trader limits – applying limits such as including stop loss and applying rules to the trades and positions held by traders, or groups of traders.

- + Profit & Loss monitoring – checking the profit and loss on positions either absolutely or as variances by trader, desk, country, industry or customer
- + Credit monitoring – checking counterparty credit worthiness, monitoring security positions and credit default risk, and monitoring exposure to given levels of credit risk
- + Operational control rules – monitoring operational metrics such as the processing status of transactions, variation of trade price to market prices, the number of reversed trades, the value of deals done per broker and static data changes on payment

**Monitoring breaches and exceptions**

Misys Eagleye enables an immediate response to any breach by allowing users to define alerts that are automatically sent to key personnel via email, SMS or desktop alert. The Eagleye Dashboard gives C level executives a high level snapshot to make smart, informed decisions. Breaches or exceptions can also be viewed via the Breach Manager, a monitoring tool that provides a high level view of all such occurrences. The detail of each individual breach can then be interactively analysed with the related underlying data accessed through on-screen drill-down.

Misys Eagleye stores an audit trail of breaches and subsequent actions for future reporting.



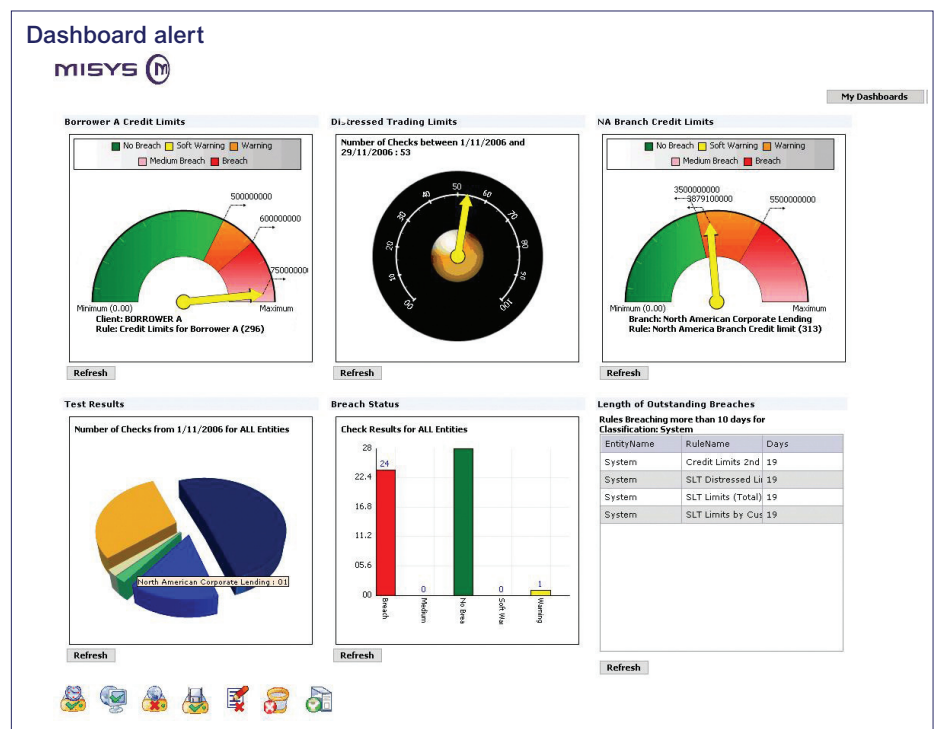
### Control

Misys Eagleye enables consolidated monitoring and automates manual tasks, eliminating financial institutions' reliance on spreadsheets and streamlining operations. Crucially, it enables businesses to react quickly to changing requirements – reducing the overall cost of compliance. Once defined, a compliance task can be saved and then run against selected entities such as portfolios, trades or clients as required, either on demand, as part of a predefined job schedule, or in response to certain events to provide real-time automated monitoring. Specific examples include:

- + a single compliance rule against a single entity such as a portfolio, desk or branch
- + a single compliance rule against a number of entities such as portfolios, desks or branches
- + a group of compliance rules against a single entity such as portfolio, desk or branch
- + a group of compliance rules against a number of entities such as portfolios, desks or branches

### Comply

Sarbanes-Oxley, Basel II, MiFID – the list of regulations affecting the financial industry is getting longer and longer. And each new regulation adds to the burden placed on existing resources. The cost of compliance has been growing. Ploughing through reports to find exceptions and breaches is a time consuming and onerous manual task, but with the threat of personal liability, the need for financial institutions to demonstrate compliance



has never been felt as acutely as it is today. The highly adaptive Misys Eagleye solution enables financial institutions to address these challenges head-on. Because the system automatically monitors and flags breaches and exceptions, issuing alerts in real time, Misys Eagleye enables your organisation to manage by exception, eliminating the time, effort and expense involved in manual checking. Moreover, the flexibility of the solution provides the level of detailed control all businesses will need to effectively comply with a wide range of policies, strategies, mandates and regulations, both today and tomorrow.

### Misys professional services

The rules and limits required by any financial organisation will differ – just as every user will have their own set-up of instruments, portfolios and trading limits. Misys will provide technical and business experts to implement Misys Eagleye and will help you to design, develop and deploy rules covering a wide range of business purposes.



For further information on how Misys Eagleye can enhance your ability to monitor, control and comply please contact:  
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or visit:  
[www.misys.com](http://www.misys.com)

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