

INSTITUTIONAL STRENGTH BOUTIQUE SERVICE

Mutual Fund    ETFs    Middle Office    Interval Funds    Transfer Agency Services

## OVERVIEW

Multiple asset managers had manually intensive operating models which were broker, trade settlement, and custodian bespoke. The inefficient and non-best practices environment resulted in significant resource costs due to a lack of supporting technology.

FIRM TYPES  
**INSTITUTIONAL ASSET MANAGERS WITH REGISTERED, PRIVATE FUNDS, AND SEPARATELY MANAGED INVESTMENT PRODUCTS**

CASE STUDY FOCUS  
**OUTSOURCED POST-EXECUTION TRADE SETTLEMENT PLATFORM**

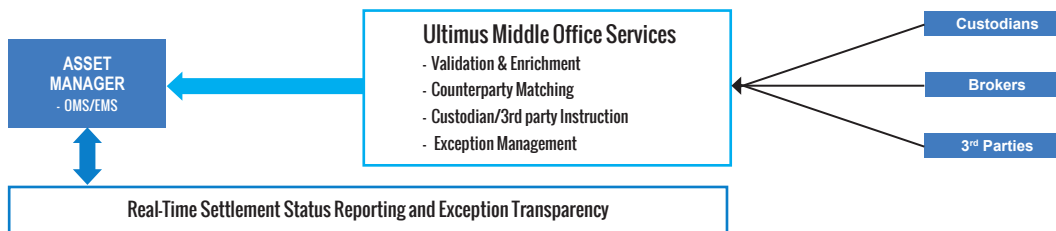
FIRM SIZES  
**\$2bn - \$50bn AUM**

FIRM LOCATION  
**US BASED, WITH GLOBAL INVESTMENT AND TRADING STRATEGIES**

## SOLUTION

Ultimus provided a fully automated, post-execution, exception-based Trade Services platform, including trade validation/enrichment, systemic counterparty matching, settlement instruction maintenance, instruction to custodians and interested parties via SWIFT, FTP, email/fax, and aggregated, real-time status and exception reporting directly from the Ultimus platform.

### OUTSOURCED TRADE SERVICES PLATFORM



## BENEFITS CLIENTS RECEIVED

- ▲ Access to an automated, exception-based workflow model allowing for high end-to-end straight through processing rates across the trade settlement lifecycle.
- ▲ Full trade settlement lifecycle transparency with real-time status of matching and settlement exceptions across custodians and matching utilities.
- ▲ Ability to reassign internal resources from manually intensive broker matching and custodian instruction routing to strategic roles directly supporting the investment process.
- ▲ Direct access to both SWIFT and FIX messaging protocols via Ultimus gateway, providing automated connectivity to their custodians and order management/execution platforms (system agnostic).
- ▲ Access to market matching and settlement instruction DTCC maintenance utilities.

▶ At Ultimus, we understand that each asset manager has unique business needs and requirements. Therefore, even if your operating model and business circumstances are complex, we have the professionals, processes, and technology in place to adapt to your needs and can provide you with operational excellence and superior customer service.

**Please contact us today at [inquiry@ultimusfundsolutions.com](mailto:inquiry@ultimusfundsolutions.com) or 800.813.1421**