CSD/CORE

Modern, flexible and robust software solution supporting the services of central securities depositories, clearing and settlement entities and other entities of the securities market on an efficient basis. It is composed of a set of applications integrated through business services, thus supporting your business needs and providing the market participants with a friendly, portable and secure user platform and with the capacity to integrate withinternal and external applications.

CSD/CORE Functional Modules

- Investor Account Management
- Shareholders' Register and Issuer Account Management
- Issuances and Securities
- Dematerialized Securities Custody
- Physical Certificates Custody
- Dematerialized Securities Custody Operations
- Physical Certificates Custody Operations
- Trading Mechanism Operation Management
- International Operations Management
- Repurchase Guarantee and Loan Management
- Cash Fund Management
- Clearing and Settlement of Transactions
- Corporate Process Management
- Service Collection and Rate Management
- Accounting Interface
- System Security Management
- System Audits
- Process Audit and Reconciliation with Entities

Flexible to Regional Market Models

Integration Capacity

Cost-Effective

CSD CORE

International Safety Standards

Quality Standards

Business Technological Architecture

Business Model

- CSD Business Models, standards based on IOSCO, G30 recommendations
- BPM Functional Architecture

CSD/CORE Features

- 100% Web-based access to all system modules and users
- Architecture used in any Internet browser
- Profile configuration and information confidentiality at the request of the entity
- Enterprise service bus to integrate the securities market
- Electronic messaging
- Reporting services
- Queue processing
- Process schedule
- Event notification by email or to the system
- Electronic document management
- Process programming
- Programmable and configurable interface generator
- Configuration of service schedules
- Requests using e-forms

Technological Aspects

- JEE Technology
- Architecture open to any operating system licensing (Linux and Window standard), database (Oracle, DB2, PostgreSQL, MySQL) and application server (Jboss, Oracle Web Logic, Web Sphere)
- Manufacturer and hardware independence
- Service Oriented Architecture (SOA)
- Scalable and high-availability architecture
- ESB (Enterprise Server Bus)

Standard-based Development

- ISO15022, ISO6166, ISO 20022
- SWIFT Integration for funds management
- ISO27001 /OWASP

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ARKIN SOFTWARE
TECHNOLOGIES

Advantages of our CSD/CORE

- Low cost of implementation
- Built with development methodologies
- Portable and exempt from licensing
- Easy maintenance

Account Management

- Investor Account Management
- Investor Bank Account Management
- Participant Management
- Asset Laundering – PEP (Politically Exposed Persons), PNA(Unfit Person), OFAC (Office of Foreign Assets Control)
- FATCA(Foreign Account Tax Compliance Act)Principle

Dematerialized Securities Custody Operations

- Securities Dematerialization
- Securities Reversal in Central Securities Depository
- Individual and Mass Securities Transfer
- Participant Unification
- Change of Ownership for Various Reasons
- Accreditation Certificates
- Blocking Entity Management
- Blocking and Unblocking Operation Management (Pledge, Foreclosures, Others, Reserve and Other Parameterized Blocking)
- Rectification of Transactions
- Automatic Reversal of Non-Confirmed Operations

ARKIN SOFTWARE
TECHNOLOGIES

Issuance Management

- Issuer Management
- Fixed Income / Equities Issuance Management
- Fixed Income / Equities Securities Registration Management
- Payment Schedule Management
- Payment Schedule Restructuring
- Placement Tranche Control and Management

Management of Centralized Trading Mechanism Operations

- Registration of Operations for Several Centralized Trading Mechanisms and Parameterized Modalities in accordance with the markets
- Operation Allocation and Complementarity
- "Order of Settlement" Scheme – Banks and AFP (Pension Fund Administrators)
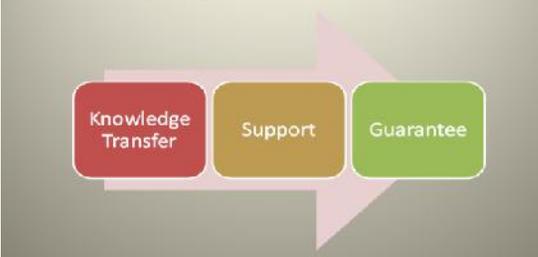- Calculation of Positions and Cash Amounts

Cash Fund Management

- Parameterization of Fund Management Schemes (SWIFT, Central Bank, Commercial Banks)
- Settlement Bank Management
- Bank and Participant Cash Account Management and Settlement Scheme Management
- Cash Account Management in accordance with Settlement Schemes
- Cash Account Management for Clearing and Settlement Processes, Corporate Processes, Guarantees and Collaterals
- Cash Account Monitoring
- Opening and Closing of Automatic and Manual Interface Processes
- Automatic Fund Deposit Process (SWIFT, Central Bank, Commercial Banks)
- Manual Fund Deposit and Withdrawal Management

Clearing and Settlement Process Management

- Clearing and Settlement Process Monitoring Simultaneously
- Settlement Model Parameterization by Mechanism and Modality
- Clearing Process Management (Opening, Closing, Restarting and Suspension)
- Manual and Automatic Clearing and Settlement Process Management
- Enlargement and Advance Management for Settlement of Transactions
- Management of Collection and Settlement of Selective Transactions during and after Clearing
- Management and Settlement of Defaulted Operations
- Calculation of Penalties and Sanctions

Services offered by our product: Guarantee, Support and Knowledge Transfer

- Knowledge Transfer
- Support
- Guarantee

International Operation Management

- International CSD Registration
- International Broker Registration
- Receipt and Delivery of Securities
- Deposit and Withdrawal of Securities
- Corporate Processes for International Securities
- Payment of Benefits for International Securities

Technological Platform with Business Models in Latin American Securities Market

Repurchase Guarantee and Loan Management

- Parameterization of Guaranteed Operations (Repurchase, Loan)
- Calculation of Coverage Amounts
- Guarantee Call Valuation Process
- Guarantee Deposit Monitoring (Securities and Cash Funds)
- Initial Guarantee Provision (Securities and Cash Funds)
- Guarantee Reimbursement (Securities and Cash Funds)
- Additional Guarantee Registration (Securities and Cash Funds)
- Changes in Guarantees of Trade Operations
- Release of Guarantees (Securities or Cash)
- Guarantee Completion (Securities and/or Cash Funds)
- Daily Interest Calculation for Cash Collateral

Corporate Process Management – Fixed Income and Equities

- Manual and Automatic Management of Important Notices
- Corporate Processes Control and Monitoring
- Stock Process Management for Capital Increase (Automatic and Manual)
    - Cash Dividends
    - Stock Dividends
    - Return of Contributions
    - Preferential Subscription

- - Payment of Remaining Dividends
- Special Reorganization Process Management
    - Change in Nominal Value without Capital Variation
    - Change in Nominal Value with Capital Variation
    - Securities Merger
    - Securities Unification
    - Securities Spin-offs
    - Delisted Securities
- Benefit Delivery Process Management – Fixed Income
    - Payment of Interests
    - Capital Amortization
    - Early Maturity
    - Partial or Total Redemption of Issuances
    - Bonds Convertible into Shares
- Allocation of Direct Payments to Investor's Bank Accounts
- Issuers' Cash Revenue Service
- Commission Collection Service to Issuers – Payment of Benefits
- Payment Allocation – Refund of Benefits
- Interfaces with Central Bank and Commercial Banks
- SWIFT Messaging
- Preliminary Adjustments to Calculation Processes
- eVoting

Shareholders' Register and Issuer Account Management

- Issuer Account Management
- Shareholders' Register Management

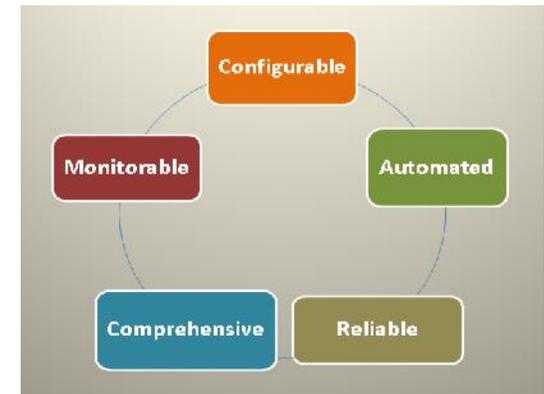## Service Collection and Rate Management

- Parameterized Service Management
- Rate Definition for Various Criteria applied to Services
- Exclusion/Inclusion of Service Collection for Various Criteria
- Automatic Calculation of Service Collection
- Manual Registration of Service Collection
- Billing Management
- Interface with Financial ERP

Accounting Interface

- Registration of Accounting Parameters
- Registration of Accounting Schemes
- Registration of Formulas and Information Sources
- Generation of Accounting Entries

Physical Certificate Management and Custody

- Deposits of Physical Certificates
- Withdrawal of Physical Certificates
- Operations for Proceedings with Physical Certificates
- Management of Physical Certificates held in Vault

Software Security Management

- Enterprise Application Management
- Parametrizable Option Management and Configuration
- System Profile Management (External and Internal by Criteria)
- Access Schedule and Schedule Exception Management
- User, User Privilege Exception and User Login Management
- Integration with Software Security Products
- Integration with Open Source and Licensed LDAP
- Process Management

System Audit

- System Activity Tracking
- User Audit Monitoring
- Process Audit Monitoring
- Sensitive Fields Audit

Process Audit

- Audit Process Programming
- Audit Process Monitoring
- Automatic and Manual Audit Process Execution
- Configuration of Processes to be Audited
- Configuration of Automatic Reconciliation Services

Process Audit

- Audit Process Programming
- Audit Process Monitoring
- Automatic and Manual Audit Process Execution

Other SCD/CORE Products

- Risk Management Module
- DATAMART SCD
- DASHBOARD for Operating Processes - KPI
- Investor WEB Service
- Investor Mobile Services