true-Advice

Introduction

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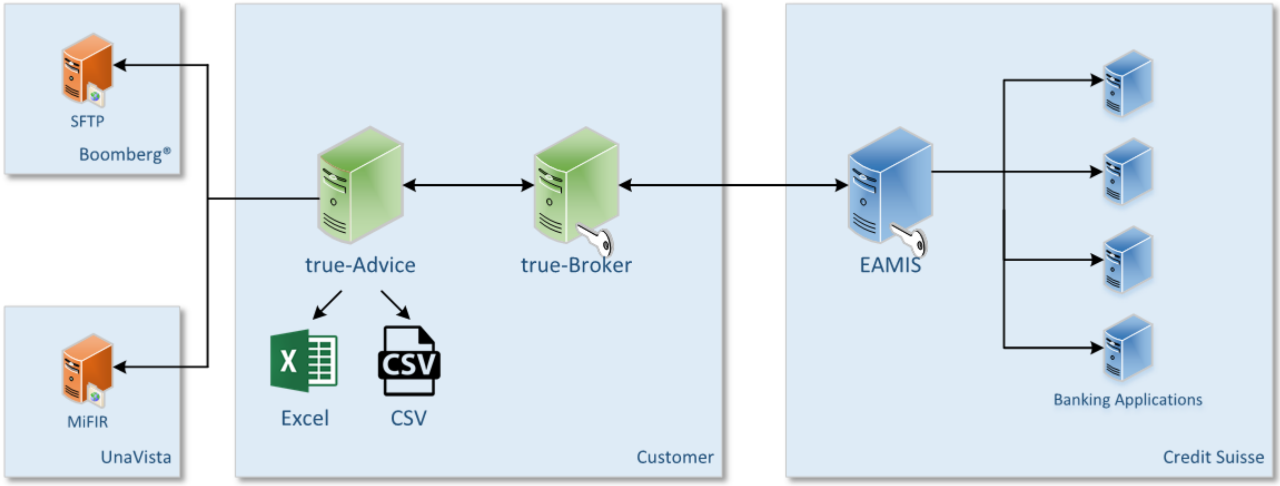
1. Overview



2. Available Modules

2.1. CSV Output Converter

The CSV Output Converter is intended for Portfolio Management Systems (PMS) without SWIFT capabilities. It automatically converts SWIFT messages and Customer Master Data (CMD) from UBS customers into CSV files (containing ISIN, CIF (UBS Customer No.), trade details, buy/sell price, opening/closing balance, currency, etc.). The CSV files are directly uploaded into the Asset Manager’s PMS (individual format, Excel, etc.).

2.2. Reporting

true-Advice Reporting is an automated and comprehensive reporting tool intended for Portfolio Management Systems (PMS) without SWIFT capabilities. It converts SWIFT messages and Customer Master Data (CMD) from UBS customers into comprehensive and highly customizable Excel reports (Containing ISIN, CIF (UBS Customer No.), trade details, buy/sell price, opening/closing balance, currency, etc.) — no manual compilation and consolidation required.

2.3. M/L Reporting

true-Advice M/L Report is an automated and comprehensive margin lending reporting tool for Portfolio Management Systems (PMS) without SWIFT capabilities. It automatically converts SWIFT messages and Customer Master Data (CMD) from UBS customers into comprehensive Excel M/L reports (containing position summaries like market value, collateral value, liabilities value and listing the ratios such as loan to market value, loan to collateral value, etc.) — no manual compilation and consolidation required. This offer is currently limited to customers in APAC.

2.4. CSV/SWIFT Order Routing

The CSV/SWIFT Order Routing is intended for EAMs to automatically exchange with UBS in real-time security transaction reports/market activities (as SWIFT messages) of their customers. In combination with true-Advice Reporting, this process enables the monitoring of open orders. This eliminates for orders the manual data input, data compilation, and transmission.

2.5. Securities Settlement

true-Advice Securities Settlement converts core data of a stock exchange order into SWIFT messages, enriches them with the customizable standard settlement instructions (SSI – A broker's standard custody data) and sends the settlement instruction in real time to UBS, where the transaction is fully automatically processed and booked. This eliminates the manual data compilation and transmission for the External Asset Manager (EAM).

2.6. FX Settlement

true-Advice FX Settlement converts core data of a foreign exchange order into SWIFT messages, enriches them if needed and sends the FX settlement instruction in real time to UBS, where the transaction is fully automatically processed and booked. This eliminates the manual data compilation and transmission for the External Asset Manager (EAM).

2.7. FIX Order Routing

The FIX Order Routing is intended for Portfolio Management Systems (PMS) using FIX protocols (Financial Information eXchange) for their security transactions. The FIX Order Routing automatically converts FIX protocols into SWIFT messages and back. The FIX Order Routing enables the EAM to directly place security transactions / orders from his PMS with CS. The automated process reflects data in real-time and eliminates for orders the manual data input and compilation.

2.8. true-Advice with Bloomberg®

true-Advice with Bloomberg® can automatically deliver data to the Bloomberg Terminal®. This is intended for External Asset Managers (EAM) who want to use the advanced risk, performance, and graphical analytics available through Bloomberg's PORT <GO> functionality. The Customer Master Data (CMD) from UBS customers (through CSV files) and securities transaction reports/market activities (through SWIFT messages) are automatically uploaded to PORT <GO> on the Bloomberg Terminal® (subscription required).Page 3/5

2.9. MiFIR

true-Advice MiFIR is intended for External Asset Managers (EAM) domiciled in the European Economic Area (EEA) that are subject to the MiFID/MiFIR regulation. true-Advice MiFIR automatically compiles securities transaction data from UBS customers into daily reports including all 65 MiFID/MiFIR required fields (ISIN, execution venue, executer, decision maker, etc) and sends it to UnaVista® (contract required) for regulatory reporting. The automated process removes manual data input and compilation and eliminates the risk of false data reporting.

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