

NOMINEES MANAGEMENT



Nominees Management System is a comprehensive system that employs straight-through processing (STP) for the management of securities pledged and the administration of corporate action entitlements issued by public listed companies. The primary objective of NMS is to eliminate the manual processes historically associated with nominee & custodian services. Generally, the nominee services provided by stockbrokers generate low revenue but generally associated with high operating costs. However, this service is an important complimentary service which in the present competitive environment, is critical to the underlying stockbroking business.

This multi-user system automates the entire nominees operations, allowing stockbroking companies to attain greater operating efficiencies, cost savings, business and performance scalability.



Realities of the Industry:

- Extensive Manual Processing.
 - High Operating Costs.
- Time Consuming Operations.
 - Partial Automation.
- Inefficient Industry Players.
 - Legacy Systems.
- High Transaction Risks.
- Compliance Risks.
 - Strategic Risks.
- Complex Transactions.

GENERAL BENEFITS OF NOMINEES SYSTEM

SINGLE SOURCE	Clients information, particularly depository balances across different exchange/markets are managed in a centralized system.
SCALABILITY	NOMS comfortably supports the organization's volume projections without additional investment outlay.
COMPLETE	NOMS supports the management of a full range of nominees' related transactions for both local and foreign nominees. Clients depository balances across exchanges/market are better and easily managed. Manually managing complex corporate actions events are now a thing of the past.
COMPLIANT	Statutory reporting requirements such as to Registrar's of Unclaimed Monies (RUM) and Bank Negara Malaysia External Assets & Liabilities (EAL) are supported in NOMS.
INTEGRATION	NOMS is capable to interact with other Soft-Skills STP products, especially Star*CDS which further automates complex and tedious manual depository transactions. This allows the organization to operate more efficiently and with a lower operating cost.
SERVICE DELIVERY	A typical nominees environment requires the generation of a multitude of reports for notification to clients as well as internal reconciliation of transactions. In NOMS, these reports can be generated based on a comprehensive range of selection criteria's, previewed on screen, thus saving printing costs. Reports can also be batch delivered by the system via clients preferred communication mode, e.g., e-mail, faxes or hardcopy reports.
RE-ENGINEERING	The adoption of NOMS will result in the re-engineering of an organization, especially in the areas of: <ul style="list-style-type: none"> ◆ Eliminating duplication of work. ◆ Changes the work style/process. ◆ Eliminate unnecessary controls. ◆ Eliminate non-value adding steps. ◆ Reduce processing turnaround time. ◆ Adjust/Eliminate redundant decision points. ◆ Increase standardization. ◆ Utilize appropriate technology. ◆ Provide decision making powers to users.

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KEY BENEFITS



Corporate Actions Maintenance

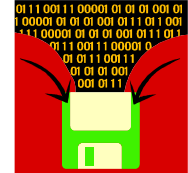
NOMS supports a **wide range** of corporate action maintenance. This includes:

- ◆ Dividend Entitlements
 - ❖ By value, By Percentage
 - ❖ Dividend-in-Specie
- ◆ Interest Payments
 - ❖ By value, By Percentage
 - ❖ Withholding tax (Foreign/Tempatan/Both)
- ◆ Bonus Issue
- ◆ General Offers
 - ❖ Surrender shares GET money
 - ❖ Surrender shares GET new shares
 - ❖ Surrender shares & money GET new shares
 - ❖ Surrender shares GET money & new shares
- ◆ Conversion
 - ❖ Conditional/Unconditional/Mandatory
- ◆ Redemption
 - ❖ Instrument/Maturity redemption
- ◆ Rights Issues
 - ❖ Renounceable/Non-renalounceable
 - ❖ Attached instruments
 - ❖ Post-Entitlement computations
 - ❖ Excess rights applications
- ◆ Capital Restructuring
 - ❖ Capital reduction
 - ❖ Share consolidation

CDS FIX Files Interface

NOMS provides the ability to **import** Bursa Malaysia Depository's **full range of CDS FIX files** into NOMS directly. These includes:

- ◆ Share Consolidated Transaction File (CFT002).
- ◆ Daily Account Stock Balance File (CFT003).
- ◆ Account Opening Fee File (CFT004).
- ◆ Deposit Fee File (CFT005).
- ◆ Transfer Fee File (CFT006).
- ◆ Account Status File (CFT007).
- ◆ Account Reactivation Fee File (CFT014).
- ◆ Finalized Account Closure File (CFT015).
- ◆ Dormant Account Notice File (CFT017).
- ◆ Inactive Account Notice File (CFT018).
- ◆ Statement File (CFT828).



Depending on the organizations needs, other forms of files can also be imported.

Proforma Processing

NOMS **auto-computes** clients entitlements based on the corporate action details maintained and clients shareholdings.

Dissemination of Information

Deemed one of the most critical functionality in NOMS, this involves the **distribution of information** to clients, intermediaries and remisiers of clients entitlement, movements, etc. NOMS addresses this by way of providing:

- ◆ **Comprehensive** inquiry functions.
- ◆ Comprehensive range of reports.
- ◆ Various **deliveries mode** of reports, e.g., via e-mail, fax or even hardcopy reports.

Corporate Action Subscription

Corporate action subscriptions, e.g., rights issue, in NOMS are:

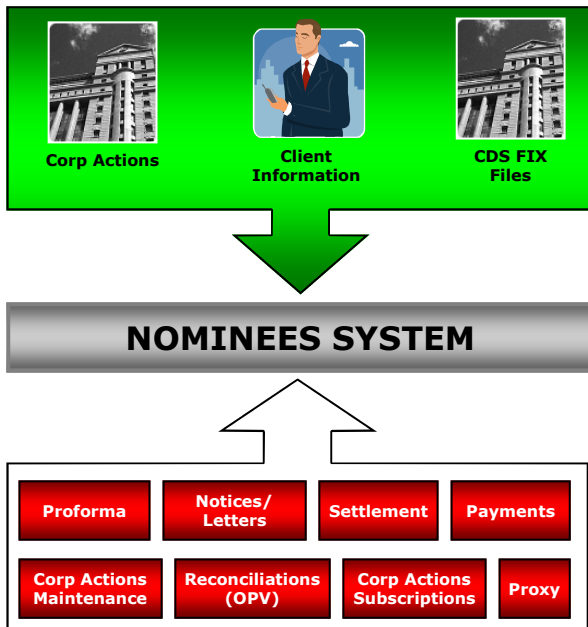
- ◆ **System assisted** (based on clients proforma entitlements), thus translating to faster turnaround processing.
- ◆ System assisted computation of charges.
- ◆ Debit/Credit advice generations.
- ◆ System generated subscription forms.

Reconciliation

NOMS manages the reconciliation process between payments and receipts of a nominees company. This is to ensure that:

- ◆ All entitlement payments from Registrars and/or payment from clients for settlement of monies are fully accounted.
- ◆ Determine all payments are given good value.
- ◆ Eliminate the risk of issuing payments against a dishonored payment.
- ◆ Determine unclaimed monies for regulatory reporting.

This reconciliation function is carried out as an **auto-matching reconciliation** (based on pre-matching rules) and/or **manual matching reconciliation** (managing of exceptions).



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KEY FUNCTIONS

Settlement

NOMS addresses some of the advanced settlement requirements for nominees operations. This includes:

- ◆ Receiving from registrar for clients entitlement payments.
 - ❖ Reduced keystrokes in processing a transaction.
 - ❖ System derived charges.
 - ❖ Detailed workflow process to avoid errors.
- ◆ Receiving from clients on fees/charges arising from clients subscriptions.
 - ❖ Flexible charges maintenance (grouping of charges by clients).
 - ❖ Flexible settlement options.
 - ▶ Partial settlement of monies;
 - ▶ Single instrument for single settlement;
 - ▶ Single instrument for multiple settlements;
 - ▶ Multiple instruments for single settlements;
 - ▶ Multiple instruments for multiple settlements;
 - ▶ Payment in foreign currencies;
 - ▶ Settlements via other payment instruments.

Payments

Issuance of payments to clients via NOMS is also flexible for an organization to adopt.

- ◆ Supports various modes of issuing payments.
- ◆ Supports special payment instructions.
 - ❖ Consolidation of multiple payments due to a client.
 - ❖ Withhold, suspending, releasing and/or changing the payment mode to a client.
- ◆ Check printing.
- ◆ Payment cancellation & re-issuance.

Proxy Management

In this module, NOMS supports the maintenance and management of Annual General Meeting (AGM) and/or Emergency General Meeting (EGM) information for entitled clients.

- ◆ Meetings and resolutions maintenance, i.e., capturing general information of meeting's announced.
- ◆ Nominations and resolutions maintenance (self and/or third party nominations).

ABOUT US



Soft-Skills Sdn Bhd is a successful IT enterprise which builds best-of-breed software solutions for the financial and securities industries. Our vast industry and business knowledge help our clients, who are industry leaders, leverage information technology for competitive advantage.

PRIMARY BUSINESS FOCUS

Develop quality solutions
Attain industry leadership
Ensure market success
Mitigate business risks
Reduce Operating Costs
Highest Return On IT Investments
Realize incorporation of STP for organizations

TECHNOLOGY . EASIER . SIMPLER

With Soft-Skills, our clients are assured of:

- ◆ A **repository of vast industry and business knowledge**. Our past working experiences, coupled with our up-to-date tracking of latest business and industry developments equips our clients with the latest know-how's for making better informed decisions.
- ◆ Our **highest professionalism** in projects management. Our clients receive only the best in precise project updates, quality documentations and timely deliverables.
- ◆ A **personalized service**. We at Soft-Skills believe in building long term relationship by actively participating with our clients throughout all aspects of the project. Some of our clients still remain as our best of friends.



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Bridge The Gap Faster

Please contact us today for more information or a product presentation.

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