



SAM and Omgeo

Risk reduction and improved settlement performance

ALERT

Benchmarks
Central Trade Manager
Connect
CrossCheck
MarketMatch
OASYS Global
ProtoColl
Transaction Report

Since implementing Omgeo Central Trade Manager (Omgeo CTM) and Omgeo ALERT, SAM (Sustainable Asset Management) has been able to book 90% of transactions on trading day (T+0). Hans Schmid, SAM's Head of Back Office Portfolio Management, explains how automating the post-trade process has increased efficiency and reduced operational risk.

SAM was founded in 1995 as the first asset management company worldwide to focus on sustainability investments. The company is among the world's leading asset managers for sustainable investments and thematic funds.

Assets managed by the company total CHF 12.7 billion (June 08). 95% of transactions are cross-border, with counterparties in Europe, North America and Asia. SAM works with numerous international brokers/dealers and custodian banks.

Processing higher volumes quickly and effectively while reducing risks

Following research into how automation could improve back-office processes, SAM implemented the Omgeo solutions. The goal was to effectively prepare for an expected increase in trading volumes, while reducing operational risk.

"Before introducing Omgeo CTM and Omgeo ALERT, we booked 90% of transactions on T+1. Today, we book 90% of transactions on the same trading day (T+0). This means transactions can be included earlier in fund NAV calculations, making them considerably more accurate. Our clients appreciate this very much."

Hans Schmid, Head of Back Office

In the past the back-office staff used to enter and process data manually in the trade blotter. Therefore it was extremely easy to make mistakes. Formulas could inadvertently be deleted or typing errors could go unnoticed. In addition, post-trade communications with brokers/dealers and custodian banks were carried out by fax and over the telephone.

"Our monthly trading volume has more than doubled since Omgeo solutions were implemented, while my staff have even been able to take on additional tasks."

Hans Schmid, Head of Back Office

Communications between all counterparties have now been automated and Omgeo has met SAM's high expectations. Processes are much faster and less volume-dependent. Thanks to more reliable and higher quality trade processing, as well as lower error rates, operational risk has also been dramatically reduced.

Implementation and connection to all custodians within three months

Ease of implementation was one crucial advantage that Omgeo CTM and Omgeo ALERT had over other solutions. No help was required from the IT department. Omgeo CTM could be integrated easily to Bloomberg's POMS (portfolio management system) via the existing Omgeo-Bloomberg interface. The implementation and the connection to all of SAM's custodians were fully completed within three months.



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Easy instruction of custodian banks and other third parties via SWIFT

SAM uses Omgeo CTM's settlement notification functionality to instruct custodian banks and other third parties such as asset managers. The decision to implement this functionality was mainly made because multiple settlement notifications can be sent in SWIFT MT541/543-format without the need to become a member of SWIFT. Additionally Omgeo CTM enriches settlement notifications with standing settlement and account instructions (SSI) from Omgeo ALERT without any manual intervention and therefore significantly reduces trade failure.

SAM Sustainable Asset Management

SAM was founded in 1995 as the first asset management company to focus on sustainability investments. The company is now among the leading asset managers worldwide for sustainable investments and thematic funds like water, climate and clean forms of energy. SAM's global client base includes banks, insurers, pension funds, family offices and private individuals.

SAM assesses and analyses companies using sector-specific criteria based on environmental, social and economic aspects. Integrating innovative investment criteria into the corporate valuation methodology and the investment process is the cornerstone of the firm's investment strategy. SAM's know-how is based on its independent research and an active international network of sustainability experts.

Together with Dow Jones Indexes and STOXX, SAM developed an entire family of sustainability indices to measure the performance of companies that were sector leaders in sustainability. Through this partnership, SAM has access to the world's largest sustainability database and analyses the environmental, economic and social contribution of more than 1,000 listed companies.

Headquartered in Zurich (Switzerland) SAM is represented in Europe, Australia, the USA and Canada and employs around 100 people worldwide. More information on SAM can be found at:

<http://www.sam-group.ch>

Omgeo

Omgeo creates certainty in post-trade operations through the automation and timely confirmation of the economic details of trades executed between investment managers and broker/dealers. Every day Omgeo enables an efficient community of more than 6000 financial services clients in 46 countries to manage matching and exception handling of trade allocations, confirmations and settlement instructions. Leading organisations rely on Omgeo to help manage an increasingly complex investment industry by providing operational stability and solutions that complement the focus on profitability in an era of escalating trade volumes. Across borders, asset classes and trade lifecycles, Omgeo is the global standard for operational efficiency across the investment industry. Formed in 2001, Omgeo is jointly owned by the DTCC and Thomson Reuters.

Omgeo Central Trade ManagerSM

Omgeo CTM is a global platform for the central matching of multi-asset class transactions in both cross-border and domestic trades. Omgeo CTM offers exception-only processing, real-time settlement instruction enrichment and automated settlement notification in SWIFT MT541/543 format to custodians and other third parties.

Omgeo ALERTSM

Omgeo ALERT is the industry's largest global database for maintaining and communication standing settlement and account instructions (SSI). The solution allows investment managers, brokers/dealers and custodian banks to share accurate SSI data automatically worldwide.

For more information about Omgeo, please visit www.omgeo.com



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