

# Advanced Solutions for Brokerage & Wealth Management

Maximize operational efficiency & effectiveness while accelerating the adoption of technology across your organization's value chain.

Today, every type of financial activity (banking, insurance, investing, retirement planning, wealth & mortgage) is being reimagined. Changes are multi-fold; client demographics, increased competition, stringent regulatory environment and potential economic slowdown!

## Regulation

- Increasing scrutiny by FINRA on trade monitoring, sales practices & product suitability
- FINCEN regulations on Ultimate Beneficial Owner



## Client

- Transfer of wealth to Gen X, Y & Z
- Demand for value in a world of information ubiquity
- Demand for 'experience': Intuitive, mobile first, personalized service, simplified processing

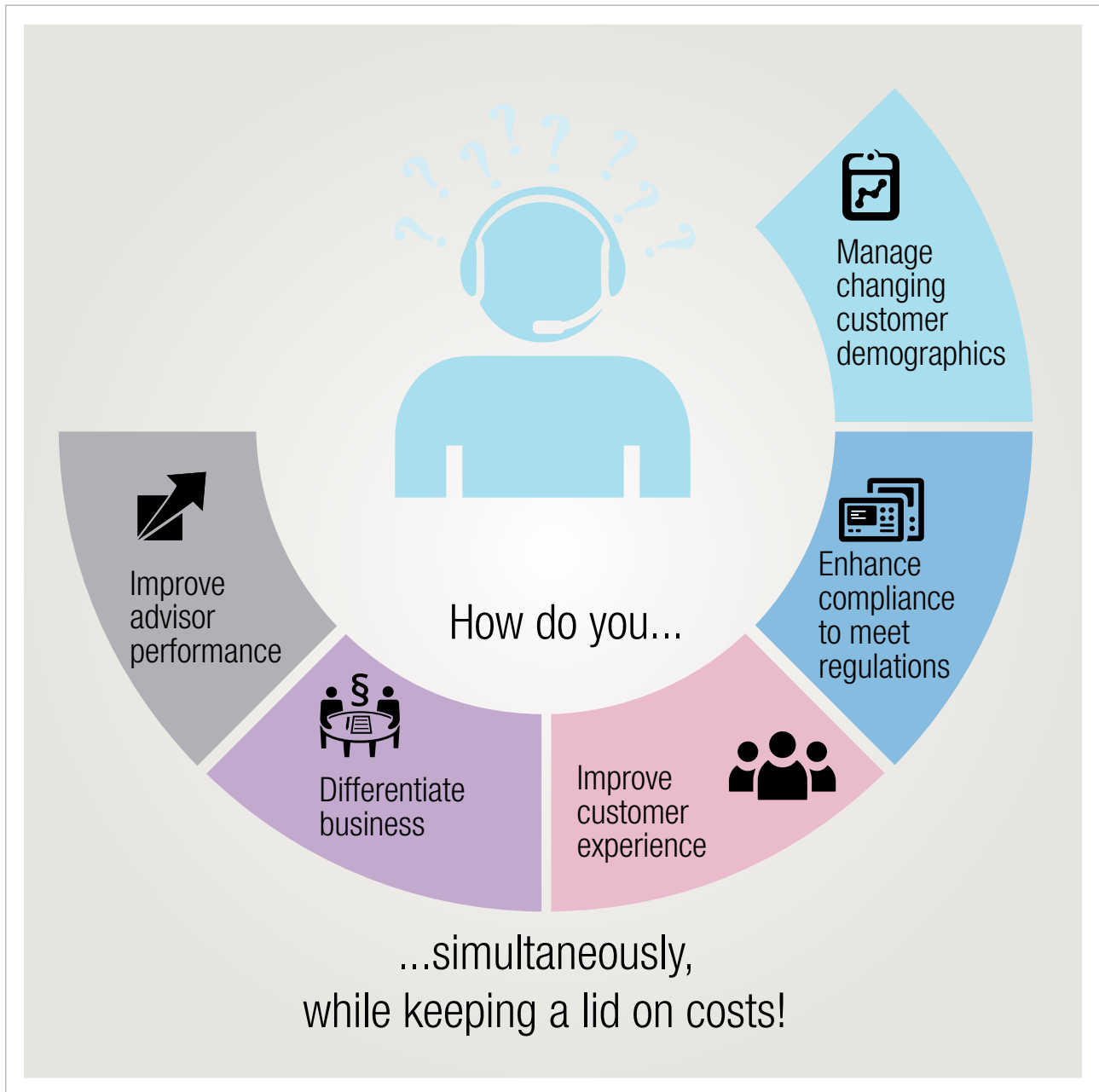
## Competition

- Robo - advisors
- Increasing number of specialized product and service through technology

Seldom has the industry been witness to such tectonic changes. Executives need to juggle between priorities in their effort to change the fabric of the organization to meet the demands of its stakeholders.

In these stressful times, it pays to look within and delineate what's core and what's not. Thankfully there is a common thread to addressing the challenge: *'The need to maximize operational efficiency & effectiveness while accelerating the adoption of technology across the organization's value chain'*.

A specialist provider with expertise in brokerage operations, technology and compliance is who you need to partner.



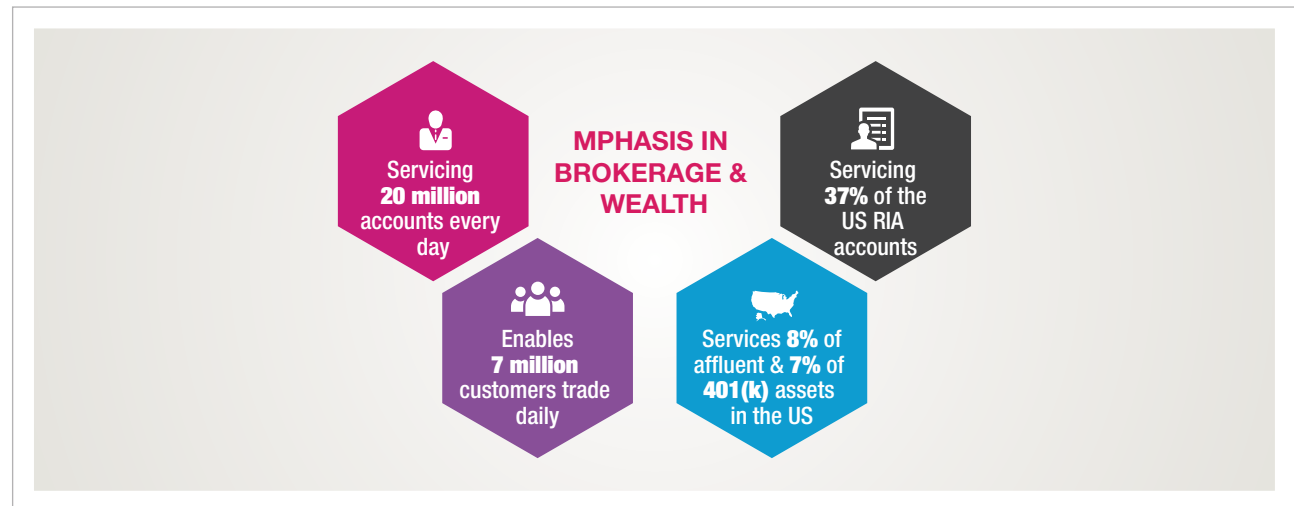
# Mphasis, Specialist Brokerage & Wealth Services Provider

Mphasis enables wealth management and advisory firms in improving customer acquisition, enhance advisor productivity, gain customer insights, and control risks.

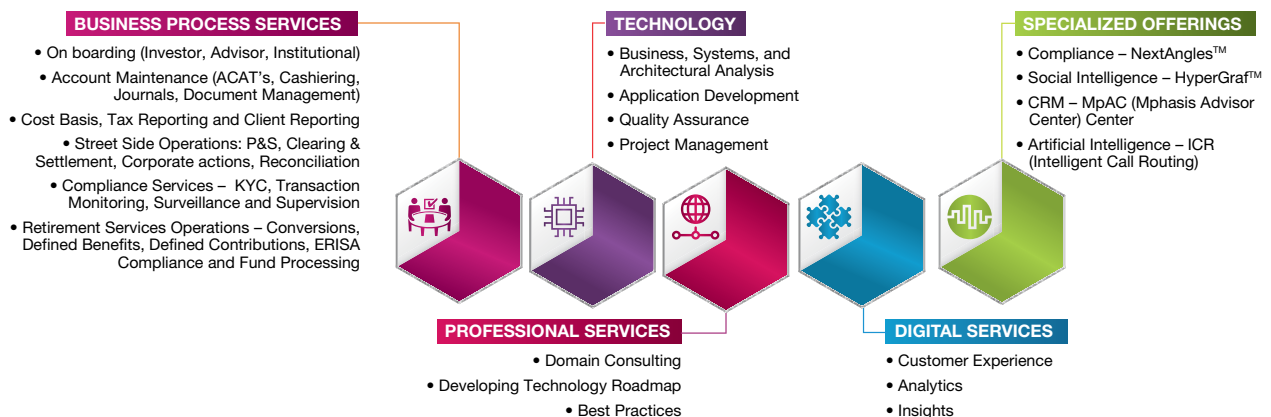
We are catalysts for organizational transformation -

- Expertise in industry platforms including Eagle, Wealth Station & Maxit that enables us streamline & own your back and middle office operations
- Performance driven back office powered by Thomson Reuters BETA
- Robotics to automate asset transfers & cashiering
- Compliance Services including surveillance & supervision to enable you meet FINRA & FINCEN mandates
- CRM solutions around Salesforce.com to maximize customer experience

Few service providers bring expertise to address your needs & deliver to business objectives by combining people, processes & technology. We have over the last decade, built expertise in servicing brokers & wealth management firms; servicing some of the largest in North America.



## Mphasis' Key Service Offerings in Brokerage & Wealth



# Why Mphasis?

We understand your needs and are equipped to address your challenges so that you can focus on servicing your demanding clients!

- We are one of the few who straddle the spectrum of Operations, Technology & Compliance
- We have been rated leaders in the wealth management service provider segment by analyst firms like the Everest Group and NelsonHall
- We bring to the table over a decade of experience in global wealth operations

## About Mphasis

Mphasis (BSE: 526299; NSE: MPHASIS) applies next-generation technology to help enterprises transform businesses globally. Customer centricity is foundational to Mphasis and is reflected in the Mphasis' Front2Back™ Transformation approach. Front2Back™ uses the exponential power of cloud and cognitive to provide hyper-personalized ( $C = X2C_{iv} = 1$ ) digital experience to clients and their end customers. Mphasis' Service Transformation approach helps 'shrink the core' through the application of digital technologies across legacy environments within an enterprise, enabling businesses to stay ahead in a changing world. Mphasis' core reference architectures and tools, speed and innovation with domain expertise and specialization are key to building strong relationships with marquee clients. To know more, please visit [www.mphasis.com](http://www.mphasis.com)

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