



**Data That Empowers**

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## Company Information

Financial Information Incorporated (FII) was founded in 1911 and is the leading global provider of domestic and international financial corporate actions and historical reference services.

Over 100 years ago, FII's runners hurried along Wall Street to the offices of our subscribers. They delivered hastily handwritten notes describing events and changes that impacted the value of stocks and bonds traded in the public markets. These notices evolved into our widely used Financial Daily Card Service, the industry standard for Corporate Actions information. Our next service, the Called Bond Card, was created in 1915. Our Warrant Service was created in 1985 and our Put Option Service came a few years later in 1989. FII's Online Inquiry System re-launched in 2000 as FII Online which today remains our premier customer-facing research tool.

"We're the Company That Wrote the Book" – FII is the creator and publisher of the Annual Guide to Stocks, which is known as the "Bible" to the securities industry. The printed version of "Stock Guide" is a vital research source for financial professionals and is available via FII's online portal – FII Online.

FII's clients consist of banking and brokerage firms; accounting and law offices; government agencies; college and public libraries; and private investors.

Our research tools provide our clients with efficient, cost saving solutions to their data needs. With a staff of expert research analysts and editors we collect, review, verify, and publish information vital to the securities industry.

## Financial Actions Services

FII’s Financial Actions Services report real-time Corporate Action activity which affects publicly traded U.S. and Canadian Equity and Fixed Income securities.

Specialists in our four segments: Reorganization, Called Bonds, Put Options and Warrant Watch Service cover a breadth of events providing information in clear, logical order to facilitate the processing of all Corporate Actions.

FII aims to provide not just the Who, What, When details on corporate actions events, but also the Why – especially in cases of complex events. We distill the information and explain in condensed, uniform terms.

## Fixed Income

Including events from our Reorg, Called Bonds and Put Options services

<b>Voluntary Offer Events</b>	<b>Calls</b>	<b>Puts</b>
<ul style="list-style-type: none"> <li>• Dutch Auction</li> <li>• Early Tender</li> <li>• With Consent Solicitation</li> <li>• Exchange of Notes</li> <li>• Fixed Spread</li> <li>• Priority Acceptance</li> </ul>	<ul style="list-style-type: none"> <li>• Full, Partial and Pre-refunding Calls on Corporate and Municipal Bonds</li> <li>• Sinking Funds</li> <li>• Redemptions on Convertible Corporate Bonds – with Conversion details</li> <li>• Full and Partial Defeasances</li> </ul>	<ul style="list-style-type: none"> <li>• Optional Puts</li> <li>• Mandatory Repurchase</li> <li>• Mandatory Retained</li> <li>• Includes               <ul style="list-style-type: none"> <li>○ Remarketing Agent, First Notification Date, Last Notification/Expiration Date, Put Frequency, Next Put Date</li> </ul> </li> </ul>

<b>Bankruptcy</b>	<b>Conversions</b>	<b>Changes and Defaults</b>
<ul style="list-style-type: none"> <li>• Petition Filing</li> <li>• Chapter Conversion</li> <li>• Ballot Solicitation</li> <li>• Confirmation Date</li> <li>• Effective Date</li> <li>• Distributions</li> <li>• Dismissal/Termination</li> <li>• Worthless designation</li> </ul>	<ul style="list-style-type: none"> <li>• Rate Changes – with reasoning</li> <li>• Expiration of Conversion Privilege – with reasoning</li> <li>• Contingent Convertible Securities</li> <li>• Special Conversion Options</li> <li>• Mandatory Conversions</li> </ul>	<ul style="list-style-type: none"> <li>• Consent Solicitations</li> <li>• Interest Rate Change</li> <li>• Extension of Maturity</li> <li>• Maturity Date Accelerated</li> <li>• Default Notice</li> <li>• Payment in Default</li> </ul>

## Equity Corporate Actions

Including events from our Reorg and Warrant Watch services as well as Calls on Preferred Stocks and Warrants

<p><b>Effective Capital Events</b></p> <ul style="list-style-type: none"> <li>• Forward Split</li> <li>• Distribution/Spin off</li> <li>• Stock Dividend</li> <li>• Reverse Split             <ul style="list-style-type: none"> <li>○ Going Private via Split</li> </ul> </li> <li>• Par Value Change</li> <li>• Reclassification</li> <li>• Unit Separation</li> <li>• Calls on Preferred Stock or Warrants</li> <li>• Conversion on Preferred Stock or Change in Conversion Terms</li> </ul>	<p><b>Mandatory Exchange Events</b></p> <ul style="list-style-type: none"> <li>• Restricted to Unrestricted</li> <li>• Redemption for shares</li> <li>• Exchange due to maturity</li> <li>• Conversion from             <ul style="list-style-type: none"> <li>○ Corporation to trust</li> <li>○ Trust to corporation</li> <li>○ Trust to open-ended mutual fund</li> <li>○ Closed-end to open-end</li> <li>○ Bank to holding company</li> </ul> </li> </ul>	<p><b>Static Data Changes</b></p> <ul style="list-style-type: none"> <li>• Incorporation change</li> <li>• Name Change</li> <li>• Change of Fund Portfolio Name</li> <li>• CUSIP Change</li> <li>• Preferred Stock Interest Rate Change</li> </ul>
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<p><b>Mergers/Acquisitions</b></p> <ul style="list-style-type: none"> <li>• Stockholders' vote</li> <li>• Acquirer offering to purchase</li> <li>• Plan/Scheme of Arrangement</li> <li>• Compulsory/Squeeze Out</li> <li>• Special Purpose Acquisition (SPAC)</li> <li>• Going Private</li> <li>• Competing Proposal</li> <li>• Escrow</li> </ul>	<p><b>Voluntary Offer Events</b></p> <ul style="list-style-type: none"> <li>• Dutch Auction</li> <li>• Exchange of Securities</li> <li>• Fixed Spread</li> <li>• Intention to Acquire</li> <li>• Odd Lot Priority Acceptance</li> </ul>	<p><b>Rights</b></p> <ul style="list-style-type: none"> <li>• Transferrable and Non-Transferrable</li> <li>• Rights Distribution</li> <li>• Final Terms</li> <li>• ADR Rights Sale Distribution</li> <li>• Poison Pills             <ul style="list-style-type: none"> <li>○ Declaration</li> <li>○ Redemption Distribution</li> </ul> </li> </ul>	<p><b>Bankruptcy</b></p> <ul style="list-style-type: none"> <li>○ Petition Filing</li> <li>○ Chapter Conversion</li> <li>○ Ballot Solicitation</li> <li>○ Confirmation Date</li> <li>○ Effective Date</li> <li>○ Distributions</li> <li>○ Dismissal/Termination</li> <li>○ Worthless designation</li> </ul>
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<p><b>Warrants</b></p> <ul style="list-style-type: none"> <li>• Original Issue</li> <li>• Exercisable</li> <li>• Expiration Due             <ul style="list-style-type: none"> <li>○ Reminder message one month prior to expiration</li> </ul> </li> <li>• Expired/Worthless Declaration</li> <li>• Adjustment of Terms</li> <li>• Exercise Price Changes</li> <li>• Call Feature and Redemptions</li> <li>• Worthless Declaration             <ul style="list-style-type: none"> <li>○ Due to underlying stock declared worthless</li> </ul> </li> </ul>	<p><b>Additional Legal Events</b></p> <ul style="list-style-type: none"> <li>• Class Action             <ul style="list-style-type: none"> <li>○ Filings</li> <li>○ Proposed Settlements</li> <li>○ Settlement Distributions</li> </ul> </li> <li>• Liquidation             <ul style="list-style-type: none"> <li>○ Meeting/Approval</li> <li>○ Interim and Final Distributions</li> <li>○ Liquidating Trust Formation</li> <li>○ Worthless Designation</li> </ul> </li> <li>• Insolvency</li> <li>• Dissolution</li> <li>• Receivership/FDIC Takeover</li> </ul>	<p><b>ADR's &amp; GDR's</b></p> <ul style="list-style-type: none"> <li>• Basis Change             <ul style="list-style-type: none"> <li>○ Due to underlying change</li> <li>○ Concurrent with ADR Split</li> </ul> </li> <li>• Termination             <ul style="list-style-type: none"> <li>○ Option to convert to underlying</li> <li>○ Cash for sale of underlying</li> </ul> </li> <li>• Change to Sponsored</li> <li>• Cash for sale of underlying distribution shares</li> </ul>
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## Corporate Actions Event Descriptions

FII's Fixed Income and Equity Corporate Actions are organized under the following Record Types

**Bankruptcy** – Bankruptcy transactions follow the progress of bankruptcy proceedings from the initial filing of a petition through its resolution. Information is provided on the initial bankruptcy petition filing as well as solicitation for consent of the reorganization plan, the reorganization confirmation, including the effective date and the exchange of outstanding securities for other securities and/or cash. Information is also provided when securities are declared worthless, when available.

**Class Action** – Class Action transactions consist of class action filings, proposed settlements, expirations of proof of claim filings, and final settlements.

**Capital Change** – Capital Changes are forward and reverse splits, changes in par value, and reclassifications of securities. Forward and reverse splits on warrant securities are supplied under the record type Warrant Reorganization.

**Conversion** – Conversion is the change in the terms of conversion of convertible securities, including the expiration of conversion due to call of a convertible bond.

**Distribution** – Distributions are property dividends, including spin-offs. Property dividends are defined as all dividends, except cash dividends or a class of stock distributed to holders of the same class of stock.

**Exchange Offer** – Exchange Offers are voluntary offers involving the exchange of an outstanding security for a different security, securities, or a combination of a different security or securities and cash. Exchange offers on warrant securities are supplied under the record type Warrant Exchange Offer.

**General** – General transactions include: ADR basis and sponsor changes; debt security changes in interest rates, maturity date extensions, or payments in default; companies placed into conservatorship or receivership, companies declared insolvent, companies dissolved; mandatory exchanges of exchangeable securities; termination of voting trust agreements; and solicitation of consents to change indenture terms. Mandatory exchanges are those in which a security was issued with the provision that the Issuer has the right to force the exchange of that security for a new security and the Issuer has exercised that right.

**Liquidation** – Liquidation transactions consist of liquidations proposed or approved, liquidating payments, and the formation of liquidating trusts. Liquidating payments may be solely in cash or in securities or in a combination of cash and securities. Final liquidating distributions are noted.

**Merger** – Mergers are mandatory exchanges of an outstanding security for a different security or securities, or for a combination of a different security or securities and cash, or solely for cash. Mergers on warrant securities are supplied under the record type Warrant Merger.

**Name Change** – Name Changes of companies will be shown from the old name to the new name.

**Place of Incorporation Change** – Place of Incorporation Changes include changes in the state of incorporation for U.S. companies, province or territory of incorporation for Canadian corporations, and changes in the place of incorporation for foreign companies.

**Purchase Offer** – Purchase Offers are voluntary offers involving the exchange of an outstanding security solely for cash. Purchase Offers on warrant securities are supplied under the record type Warrant Purchase Offer.

**Purchase Rights** – Purchase Rights consist of the declaration, amendment, distribution, or redemption of stock purchase rights, commonly called “Poison Pill” rights.

**Rights Offer** – Rights Offers are subscription rights offers; caution, these are not the same as purchase rights. Rights Offers on warrant securities are supplied under the record type Warrant Rights.

**Stock Dividend** – Stock Dividends are dividends in the same class of stock expressed in percentage terms and special dividends of securities to stockholders.

**Corporate Redemption** – Corporate Redemptions are redemptions of non-convertible corporate issues.

**Convertible Corporate Redemption** – Convertible Corporate Redemptions are redemptions of convertible corporate issues with conversion terms, if available.

**Municipal Redemption** – Municipal Redemptions are redemptions of municipal issues.

**Sinking Fund** – Sinking Fund consists of voluntary security tenders pursuant to sinking fund provisions.

**Put Option** – Put Options record type is used to enter the recurrence of put options on specified frequency intervals.

**Warrant Redemption** – Warrant Redemptions consist of warrants called for redemption.

**Stock Warrant Service** – Stock Warrant Service includes the original entry of the warrant issue into our database and any changes in the warrant terms or changes in the expiration date of the warrants.

**Warrant Termination** – Warrant Termination consists of the expiration of the warrants or warrants declared worthless.



## Worldwide Corporate Actions (WCA)

FII has integrated data from Exchange Data International (EDI) into its internet query system, FII Online (FIIO). FII's International Service offers clients a full range of services providing global coverage of corporate actions events.

The Worldwide Corporate Actions service covers events affecting Equity Shares, ETFs, Covered Warrants, Warrants, Depository Receipts, Structured Products and Bonds traded as Equities. The service focuses on crucial events, which can be divided into four main categories:

<b>General events</b>	<b>Static data change events</b>	<b>Securities exchange events</b>
<ul style="list-style-type: none"> <li>• Announcement</li> <li>• Arrangement</li> <li>• Call</li> <li>• Company meeting</li> <li>• Lawsuit/Class action</li> <li>• Listing status change</li> </ul>	<ul style="list-style-type: none"> <li>• Financial year change</li> <li>• Incorporation change</li> <li>• International code change</li> <li>• Issuer name change</li> <li>• Local code change</li> <li>• Lot change</li> <li>• Security description</li> <li>• SEDOL™* change</li> </ul>	<ul style="list-style-type: none"> <li>• Certificate exchange</li> <li>• Demerger/spinoff</li> <li>• Merger</li> <li>• New listing</li> <li>• Preferential offer</li> <li>• Purchase offer</li> <li>• Security reclassification</li> <li>• Security swap</li> <li>• Takeover</li> </ul>

### **Capital change events**

<ul style="list-style-type: none"> <li>• Assimilation</li> <li>• Bankruptcy</li> <li>• Bonus/capitalization</li> <li>• Bonus rights</li> <li>• Buyback/repurchase offer</li> <li>• Capital reduction</li> <li>• Consolidation/reverse stock split</li> </ul>	<ul style="list-style-type: none"> <li>• Conversion terms</li> <li>• Conversion terms change</li> <li>• Currency redenomination</li> <li>• Distribution/distribution in specie</li> <li>• Divestment</li> <li>• Dividend</li> <li>• Dividend reinvestment plan</li> </ul>	<ul style="list-style-type: none"> <li>• Franking</li> <li>• Entitlement/open offer</li> <li>• Liquidation</li> <li>• Par value redenomination</li> <li>• Redemption terms</li> <li>• Return of capital</li> <li>• Rights</li> <li>• Subdivision/stock split</li> </ul>
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## Combined FII and EDI Feeds

In addition to the look-up service provided through FII Online, FII can separately offer EDI's WCA data via custom files delivered in ISO 15022 format.

Clients can choose to combine their choice of WCA event types with FII's North American data to ensure coverage of the events and securities important to their operations.

## US Mutual Funds

Our US Mutual product offers the highest quality reference data, comprehensive corporate actions and dividends data plus a daily pricing feed for US Mutual funds.

Corporate Action event coverage on Mutual Fund securities include:

<ul style="list-style-type: none"> <li>• Announcement</li> <li>• Buy Back</li> <li>• CIK change</li> <li>• Class Action</li> <li>• Consolidation</li> <li>• Dividend</li> <li>• Fund Transfer</li> <li>• Financial Year End change</li> </ul>	<ul style="list-style-type: none"> <li>• General Meeting</li> <li>• International Code change</li> <li>• Issuer Name change</li> <li>• Location change</li> <li>• Listing Status change</li> <li>• Lot change</li> <li>• NAICS change</li> </ul>	<ul style="list-style-type: none"> <li>• Par Value redenomination</li> <li>• Return of Capital</li> <li>• Registered Office change</li> <li>• Security Description change</li> <li>• Security Swap</li> <li>• Sub-division</li> <li>• Security Reclassification</li> </ul>
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## Cash Dividends – Worldwide Coverage

Reduce the challenge of managing information about how much shareholders are likely to receive and when dividends will be paid.

Announcements are available on cash, stock (script) and multiple payment choices through foreign currency options. Key data fields include:

<b>Dates</b>	<b>Dividend Type</b>	<b>Amounts</b>
<ul style="list-style-type: none"> <li>• Announcement</li> <li>• Record</li> <li>• Payment</li> <li>• Ex</li> </ul>	<ul style="list-style-type: none"> <li>• Regular</li> <li>• Special</li> <li>• Interim</li> <li>• Final</li> </ul>	<ul style="list-style-type: none"> <li>• Gross</li> <li>• Net</li> </ul> <p style="text-align: center;"><b>Place of Listing</b></p> <ul style="list-style-type: none"> <li>• Exchange Code</li> </ul>

## End-of-Day Pricing Data

The End-of-Day Pricing service covers **equities, bonds and indices listed** on 170 markets worldwide. Obtain fast access to accurate closing pricing data.

Data elements include:

<ul style="list-style-type: none"> <li>• ISIN</li> <li>• Issuer Name</li> <li>• Ask</li> <li>• Ask Size</li> <li>• Bid</li> <li>• Bid Size</li> </ul>	<ul style="list-style-type: none"> <li>• Close</li> <li>• Comment</li> <li>• Currency</li> <li>• Last</li> <li>• High</li> <li>• Low</li> </ul>	<ul style="list-style-type: none"> <li>• Market Close Date</li> <li>• MIC</li> <li>• Mid</li> <li>• Open</li> <li>• Price Date</li> <li>• Exchange</li> <li>• Security Description</li> </ul>	<ul style="list-style-type: none"> <li>• Security ID</li> <li>• Security Type</li> <li>• Total Trades</li> <li>• Traded Value</li> <li>• Traded Volume</li> <li>• US Code</li> <li>• Primary Exchange</li> </ul>
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## Worldwide Equity Cost Basis

Effortlessly track both a security's cost basis and its evolution

With our cost basis service, clients can fully understand how a security has evolved over a certain period from the original holding to all the new issues.

The service covers equities on a global level. It calculates and disseminates allocations and ratios to the per security level for all events that impact on a security cost basis.

Records are disseminated for each issued security and identify the original security, the issued security, and all necessary fields to identify the event and handle the cost basis and the number of share changes.

Data elements include:

<ul style="list-style-type: none"> <li>• Issuer Name</li> <li>• Event Type and Description</li> <li>• Listed and Primary exchanges</li> <li>• Price, Market Value</li> </ul>	<ul style="list-style-type: none"> <li>• Old/New Shares Ratio</li> <li>• Round</li> <li>• Allocation Factor</li> <li>• Old &amp; New Identifiers (ISIN, Local Code)</li> </ul>
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## Historical Actions Services

FII’s Historical Reference Services are the premier source of data to the financial industry. Surpassed by none, these indispensable services have been the backbone of the financial industry since 1911. FII’s Historical Reference Services are considered by the financial industry to be the most comprehensive, timely and accurate services available.

## Financial Stock Guide Service

Subscribers have access to security history on US and Canadian equity securities (Publicly traded Preferred, Common, ETF’s, Mutual Funds, ADR’s, GDR’s & SBI’s)

<b>Active Stock Guide Service</b>	<b>Obsolete Stock Guide Service</b>
<ul style="list-style-type: none"> <li>• 60,000+ Active U.S. &amp; Canadian securities, including companies incorporated offshore</li> <li>• Full Security Issuer and Issuer Descriptions, CUSIP or CINS, Place of Incorporation, Par Value, Transfer Agents – plus a separate section for inactive agents referencing the new agent – Transfer Charge, Dividend Disbursing Agent, Lead Underwriter, Poison Pills, Summary of Capital Changes and Stock Dividends for Active Stocks</li> </ul>	<ul style="list-style-type: none"> <li>• Over 150,000 Obsolete Securities dating back to the late 1800’s</li> <li>• Bankruptcies and Receiverships, Liquidations, Dissolutions, Corporate Charter Cancellations, Mergers and Acquisitions, Name Changes, Recapitalizations, Reorganizations, Stocks Declared Worthless</li> <li>• Summaries of Capital Changes, Stocks Declared Worthless, Capital Changes and Stock Dividends for Obsolete Stocks</li> </ul>

## Financial Bond Guide Service

Subscribers have access to details and call history on Corporate and Municipal bonds

<b>Corporate Bond Guide</b>	<b>Municipal Bond Guide</b>
<ul style="list-style-type: none"> <li>• Over 60,000 US and Canadian Corporate Bonds</li> <li>• Full Security Description, CUSIP or CINS, Interest Rate, Maturity, Place of Incorporation, Corporate Bankruptcies, Interest Payment Frequencies &amp; Dates, Transfer Agent, Paying Agent, Registrar, Trustee</li> <li>• Full call date</li> <li>• Issuer Name Changes - new name and effective date</li> <li>• Issuer Merger – acquiring entity name and effective date</li> </ul>	<ul style="list-style-type: none"> <li>• Approaching 500,000 US Municipal Bonds</li> <li>• Full Security Description, CUSIP or CINS, Interest Rate, Maturity</li> <li>• Issue full call date</li> </ul>

## Security Master Scrubbing Service (SMS)

SMS enables subscribers to verify the accuracy of their Security Master File for North American Equities. Subscribers can compare their Security Master File – or any portion of their file – to FII’s Financial Stock Service history files (data back to 1968) as well as FII’s Financial Actions Services. SMS is now packaged with the Security Reference Service (SRS) and subscribers have 24/7 access to FII’s reference and historical databases.

SMS results are separated into the following six subsets:

<b>Worthless</b>	<b>Equity Unlikely</b>	<b>Non-Transferrable</b>
<p>Includes all CUSIPs for which there is a definitive Worthless record in the database; all CUSIPs for which a life ending event was accomplished through a distribution; or CUSIPs for which a life ending event carried an expiration for participation</p> <p>Since the security is now worthless, no event will be reported which preceded the worthless declaration.</p>	<p>Includes all CUSIPs for companies reported as dissolved with no other information available or for which corporate charters have been cancelled or for which we have other events in the database (such as a bankruptcy) that were reported specifically as equity unlikely rather than worthless.</p> <p>As with Worthless, no event will be reported which preceded the event with unlikely equity.</p>	<p>Includes all CUSIPs for companies whose status is unknown. FII has been unable to locate these companies but has verified that their last-known agent is no longer handling the security. It is possible that these companies may become active at some future date.</p> <p>As with Worthless, no event will be reported which preceded the identification of the security as non-transferable.</p>

<b>Cashed Out</b>	<b>Exchanged</b>	<b>CUSIP Change No Exchange</b>
<p>Includes all CUSIPs exchanged for cash only, such as cash mergers or redemptions.</p> <p>Events prior to the life-ending event will be reported to assist in determining the number of shares held on the final effective date to calculate amounts due at the end-of-life.</p>	<p>Includes CUSIPs which match to any event where an exchange of certificates was required or where the necessity of exchange could not be determined, such as a merger for stock.</p> <p>Events prior to the life-ending event will be reported to assist in determining the number of shares held on the final effective date to calculate amounts due at the end-of-life.</p>	<p>Includes all CUSIPs where new CUSIP resulting from an event is not an exact match to target CUSIP but no exchange of certificates was necessary, such as a name change.</p> <p>Events prior to the CUSIP-change event will be reported to assist in determining the number of shares held on the effective date of the CUSIP change.</p>

## Securities Reference Services (SRS)

A complete historical data service

SRS, contains mandatory actions on equity securities from the inception of the CUSIP number system in 1968 to the present.

Event Types include:

Active Stock	Distribution	Mandatory Exchange	Reclassification
Agent Change	Forward Split	Merger	Reorganized as
Bankruptcy	Full Call	Name Change	Holding Company
Bankruptcy	Liquidation	Non-transferable	Reverse Split
Reorganization	Liquidation Final	Security	Stock Dividend
Charter Cancelled	Payment	Par Value Change	Trust Termination
Dissolved	Mandatory Conversion	Place of Incorporation Change	Worthless Security

## FII Subscriber's Research Service

FII's individualized research assistance

FII's subscribers have available to them a unique service that few vendors can offer. Once you become an FII subscriber you are given instant access to our *Subscriber's Research Service*. This service allows subscribers the ability to email our expert research team with requests for information. If the subscriber cannot locate the status of a security, FII's team will perform all the necessary research on the subscriber's behalf.

## Access

FII's Data Services can be utilized through these services

## FII Online

FII's web-based system allows subscribers easy search-based access to decades of vital FII's Financial Actions and Historical Data information, as well as EDI's International Data information

- FAS, SRS or EDI Basic Query:
  - The user can utilize the Basic Query Function to run a basic search with a CUSIP/ISIN/SEDOL, Symbol, Company Name, or any combination of the three.
- FAS, SRS or EDI Advanced Query:
  - The user can utilize the Advanced Query Function to expand on a basic search by utilizing more search tools such as CUSIP/ISIN/SEDOL, Issuer Name, Services, Events, Equity or Debt, Voluntary or Mandatory, Card Date, Dated Date, Tickler Date, Maturity Date or any and all combinations.
- FAS or SRS Agent Query:
  - The user can utilize the Basic Query Function to run a basic search with a Agent Name, Type (Stock, Bond, or All), Status (Active or Inactive), or any combination of the three.
- FII's Legal Transfer Requirements and Stock Transfer Agents:
  - The user can utilize a pdf version of both the Legal Transfer Requirements and Active and Inactive Stock Transfer Agents.

## Security Master Scrubbing Service (SMS)

'End-of-life' (file maintenance and ongoing portfolio) compares client CUSIP numbers to selected SRS records. A compare will be done of the client's valid, nine-character CUSIP list to the SRS/LRS database to create a subset of data matching the client's list

## Financial Actions Alert Service (FAAS)

FII's web-based portfolio service allows clients to create customized alerts, notifying them of corporate actions occurring on the securities in which they are interested. FAAS will automatically check CUSIPs and ISINs from subscribers' systems against FII and EDI Financial Actions Service and notify subscribers of the details of the pertinent corporate actions events via email. This time-efficient process can be set up to run daily, weekly, or at other frequencies at each subscriber's discretion.

## FII's Annual Guide to Stocks (printed edition)

This premiere industry reference guide is bundled with FII Online for subscribers of FII's SRS service.

## Financial Technologies Solutions' Corporate Actions Announcement Processing System (FTS CAAPS)

CAAPS is a secure, cloud-based software solution for workflow management and the processing of corporate actions.

CAAPS is a rules-based workflow tool that streamlines the comparison of corporate action announcement information while providing flexible management and risk controls. The system collects, monitors, and reports corporate action information provided by the client's authorized sources, with multiple features that allow organizations to manage their work according to their business rules.

CAAPS supports ISO 15022 and ISO 20022 corporate action announcement messaging as well as client proprietary files. Each CAAPS client will access their own Virtual Environment to ensure privacy of their information using an encrypted (SSL) web site.

Using the CAAPS system, clients can design work queues which allow users to identify exception situations that should be addressed by operations personnel and monitor the lifecycle of the events and securities pertinent to their daily operations. Client-tailored risk measurements create a risk value for each event that clearly identifies where risk conditions exist, so users can organize their work and quickly assess where their attention is most needed.



## Delivery Methods

### Feeds

FII offers its data feed in the following formats

- ISO
  - Offering Corporate Actions Notifications and Messaging standards in all event types described in Financial Action Services as well as cash dividends and additional event types upon request.
  - 15022 and 20022
- XML
- Variable Length Records
- Customized Solutions

### Timing

Files can be delivered by or retrieved from our secure cloud servers on a schedule that works for your needs

- Intra-day
- End-of-day
- Weekly
- Monthly
- Real Time (accessible via FII Online)

## Consultancy Services

Collectively or as discrete activities, FII Consulting can offer advice and guidance to maximize the value of data received from sources ranging from Depositories, Exchanges, Custodian Banks and Data Vendors.

With a focus on Asset Servicing and ISO Standards, FII Consulting can assist in redesigning your operation to meet the new challenges faced by the Financial Services industry.

## Analysis

- In depth review of your current procedures, data integration and workflow to identify inefficiencies and risk conditions
- Onsite or virtual interviews with key personnel
- Weekly reporting on analysis progress and recommendations

## Strategy

- Create a Strategic Vision for your data use with a roadmap to get you to where you need to be
- Establish an Implementation Plan with your internal and external counterparts, clients and data providers to implement your strategic vision
- Develop RFP for 3rd party providers should the plan recommend the adoption of new products / service offerings

## Implementation

- Provide guidance towards installation of the components identified within the Implementation Plan
- Create a detailed UAT Plan with appropriate Test scripts and success measures
- Manage the Testing, and Training of your teams, to help onboard new products and services

## Case Study

- Analysis and recommendations on the usage of Corporate Action ISO messaging for a leading data vendor

## Support

While we follow the NYSE calendar and are closed on [certain holidays](#), we are always available and willing to take urgent inquiries.

All inquiries are monitored, filtered, and sorted, and sent to the pertinent and relevant department. Both our Client Services and IT team members are actively engaged in this process and can address all client needs.

## Customer Support

Phone:

800.367.3441

908.222.5300

[helpdesk@fiinet.com](mailto:helpdesk@fiinet.com)

Fax:

800.344.3292

908.222.5399

Email:

[info@fiinet.com](mailto:info@fiinet.com)

## Social Media and Website

Connect with us



## Contact Information

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