



# PRODUCT GUIDE

BACKED BY OVER 100 YEARS OF  
INDUSTRY EXPERIENCE

V2.1

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# About Financial Information Incorporated

**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was founded in 1911 and is the leading global provider of domestic and international financial corporate actions and historical reference services.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 deliver hastily handwritten notes to the offices of our subscribers. These notes described 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, which became the industry standard for Corporate Actions information.

The next service introduced was the Called Bond Card, created in 1915. Subsequently, the Warrant Service was established in 1985, followed by the Put Options Service in 1989. FII's Online Inquiry System was re-launched in 2000 as FII Online, which remains our premier customer-facing research tool today.

"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
- 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, they collect, review, verify, and publish information vital to the securities industry.

# Corporate Actions Services

FII's Corporate 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 a 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 it 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>
Dutch Auction	Full, Partial and Pre-refunding Calls on Corporate and Municipal Bonds	Optional Puts
Early Tender	Sinking Funds	Mandatory Repurchase
With Consent Solicitation	Redemptions on Convertible Corporate Bonds – with Conversion details	Mandatory Retained
Exchange of Notes	Full and Partial Defeasances	Remarketing Agent, First Notification Date, Last Notification/Expiration Date, Put Frequency, Next Put Date
Fixed Spread		
Priority Acceptance		



<b>Bankruptcy</b>	<b>Conversions</b>	<b>Changes and Defaults</b>
<b>Petition Filing</b>	Rate Changes – with reasoning	Consent Solicitations
<b>Chapter Conversion</b>	Expiration of Conversion Privilege – with reasoning	Interest Rate Change
<b>Ballot Solicitation</b>	Contingent Convertible Securities	Extension of Maturity
<b>Confirmation Date</b>	Special Conversion Options	Maturity Date Accelerated
<b>Effective Date</b>	Mandatory Conversions	Default Notice
<b>Distributions</b>		Payment in Default

## Equity Corporate Actions

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

<b>Effective Capital Events</b>	<b>Mandatory Exchange Events</b>	<b>Static Data Changes</b>
Forward Split	Restricted to Unrestricted	Incorporation change
Distribution/Spin off	Redemption for shares	Name Change
Stock Dividend	Exchange due to maturity	Change of Fund Portfolio Name
Reverse Split	Conversion from	CUSIP Change
Going Private via Split	Corporation to trust	Preferred Stock Interest Rate Change
Par Value Change	Trust to corporation	

Reclassification	Trust to open-ended mutual fund	
Unit Separation	Closed-end to open-end	
Calls on Preferred Stock or Warrants	Bank to holding company	
Conversion on Preferred Stock or Change in Conversion Terms		

<b>Mergers/Acquisitions</b>	<b>Voluntary Offer Events</b>	<b>Rights</b>
Stockholders' vote	Dutch Auction	Transferrable and non-transferrable
Acquirer offering to purchase	Exchange of Securities	Rights Distribution
Plan/Scheme of Arrangement	Fixed Spread	Final Terms
Compulsory/Squeeze Out	Intention to Acquire	ADR Rights Sale Distribution
Special Purpose Acquisition (SPAC)	Odd Lot	Poison Pills
Going Private	Priority Acceptance	Declaration
Competing Proposal		Redemption Distribution
Escrow		

<b>Warrants</b>	<b>Additional Legal Events</b>	<b>ADR's &amp; GDR's</b>
Original Issue	Class Action (Filings, Proposed Settlements, Settlement Distributions)	Basis Change (Due to underlying change, Concurrent with ADR Split)
Exercisable	Liquidation (Meeting/Approval, Interim and Final Distributions, Liquidating Trust Formation, Worthless Designation)	Termination (Option to convert to underlying, Cash for sale of underlying)

Expiration Due (Reminder message one month prior to expiration)	Insolvency	Change to Sponsored
Expired/Worthless Declaration	Dissolution	Cash for sale of underlying distribution shares
Adjustment of Terms	Receivership/FDIC Takeover	
Exercise Price Changes		

Call Feature and Redemptions	Call Feature and Redemptions	Incorporation change
Worthless Declaration (Due to underlying stock declared worthless)	Worthless Declaration (Due to underlying stock declared worthless)	Name Change

## 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 the call of a convertible bond.

**Distribution** – Distributions are property dividends, including spin-offs, 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 that involve exchanging an outstanding security for a different security, securities, or a combination of different securities and cash. Exchange offers for warrant securities are categorized 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 different from 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 Funds consist 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:

General Events	Static Data Change Events	Securities Exchange Events
Announcement	Financial year change	Certificate exchange
Arrangement	Incorporation change	Demerger/spinoff
Call	International code change	Merger
Company meeting	Issuer name change	New listing
Lawsuit/Class action	Local code change	Preferential offer
Listing status change	Lot change	Purchase offer

Security description	Security reclassification
SEDOL™* change	Security swap
	Takeover

## Capital Change Events

Assimilation	Conversion terms change	Liquidation
Bankruptcy	Currency redenomination	Par value redenomination
Bonus/capitalization	Distribution/distribution in specie	Redemption terms
Bonus rights	Divestment	Return of capital
Buyback/repurchase offer	Dividend	Rights
Capital reduction	Dividend reinvestment plan	Subdivision/stock split
Consolidation/reverse stock split	Franking	
Conversion terms	Entitlement/open offer	

## 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.

## North American Dividends

**Use the North American Dividends service to obtain up-to-date and detailed information on all new dividend announcements, as well as updates made to existing records.**

Know that our data service will provide you with:

- Covers global equities and 29,000+ US Mutual Funds
- Access to dividend announcements sourced from more than 150 exchanges
- Detailed information on both cash & stock dividends including record, pay and ex dates, gross & net amounts
- Details of all currencies in which a dividend can be paid
- Keep up with the growing numbers of distributions with more complex profile

Clients' accessing North American dividend information via the online platform can quickly retrieve based on the ex, record and/or pay date and create new dividends reports.

FII will also provide announcements that are available in cash, stock (script) and multiple payment choices through foreign currency options.

## North American Exchange IPO Service

**Meticulously crafted to empower the financial investments industry with indispensable data and insights.**

We specialize in dissecting the intricate landscape of Initial Public Offerings (IPOs), offering a comprehensive view enriched with nuanced analysis from diverse data streams.

### Comprehensive Product Coverage

- **IPOs, Direct Listings, SPACs:** Our scope extends beyond traditional IPOs to encompass Direct Listings and SPACs, ensuring a holistic perspective on market entry strategies.

### Unveiling the Full IPO Timeline:

- We prioritize a detailed IPO timeline, providing a roadmap from inception to post-listing activities. Our emphasis on every stage ensures a thorough understanding of the process.

### Proactive Calendar and Alert System:

- Stay ahead with our future calendar and alert system, meticulously tailored to notify you about critical events such as Stabilization, Lockup, and Quiet Periods. This proactive approach keeps you informed and ready to act.

### Expert SPAC Activity Monitoring:

- Navigate the dynamic landscape of SPACs confidently with our specialized monitoring. From inception to potential dissolution, we keep a vigilant eye on SPAC activities, empowering you with actionable insights.

### Tracking Trading Dynamics:

- We meticulously track trading patterns around pivotal dates, such as the end of Lock-Up periods, providing invaluable insights into market sentiment and investor behavior.

## Key Stages:

From the initial Rumor stage to the Post-IPO Transaction phase, we demystify the key stages in an IPO, offering clarity and strategic guidance every step of the way.

- Rumor - Issuer has not filed with Regulatory body
- Pending - Issuer has filed with Regulatory body
- Complete - Issuer has filed with Regulatory body and Effective Date established
- Post-IPO Transaction - This stage begins on the day that the company's shares begin trading on a stock exchange
- Postponed - Issuer has postponed the Offer until a later date
- Withdrawn - Issuer has Withdrawn the Offer

## Structured Data Framework:

Our data architecture ensures clarity and accessibility, categorizing data elements seamlessly for each IPO security. Experience streamlined navigation and efficient data retrieval with our meticulously curated structure.

- Processing Data
  - Type of offering
  - Event ID
  - IPO Stage
  - Processing Dates
- Issuer Details
  - Organization
  - Business Line
  - Industry
- Offering Details
  - Pricing
  - Quantity
- Issuer Financials
  - Use of Proceeds
  - Year End
- Risk Factors
  - List of Risk Factors as provided by the Issuer
- Dilution
  - Dilution prices based upon Quantity of IPO Securities issued and outstanding

## 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:

Announcement	General Meeting	Par Value redenomination
Buy Back	International Code change	Return of Capital
CIK change	Issuer Name change	Registered Office change
Class Action	Location change	Security Description change
Consolidation	Listing Status change	Security Swap
Dividend	Lot change	Sub-division
Fund Transfer	NAICS change	Security Reclassification
Financial Year End change		

## 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 in cash, stock (script) and multiple payment choices through foreign currency options. Key data fields include:

Dates	Dividend Type	Amounts
Announcement	Regular	Gross
Record	Special	Net
Payment	Interim	Place of Listing (Exchange Code)
Ex	Final	



## 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:

ISIN	Comment	Mid	Security Type
Issuer Name	Currency	Open	Total Trades
Ask	Last	Price Date	Traded Value
Ask Size	High	Exchange	Traded Volume
Bid	Low	Security Description	US Code
Bid Size	Market Close Date	Mid	Primary Exchange
Close	MIC	Security ID	

## 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 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:

Issuer Name	Old/New Shares Ratio
Event Type and Description	Round
Listed and Primary exchanges	Allocation Factor
Price, Market Value	Old & New Identifiers (ISIN, Local Code)

## Historical Actions Services

FII's **Historical Reference Services** are renowned as the premier source of data for the financial industry. These indispensable services, which have been the backbone of the financial industry since 1911, are surpassed by none. They are widely considered to be the most comprehensive, timely, and accurate services available in the financial industry."

## 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 & Shares of Beneficial Interest)

<b>Active Stock Guide Service</b>	<b>Obsolete Stock Guide Service</b>
60,000+ Active U.S. & Canadian securities, including companies incorporated offshore	Over 150,000 Obsolete Securities dating back to the late 1800's
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	Bankruptcies and Receiverships, Liquidations, Dissolutions, Corporate Charter Cancellations, Mergers and Acquisitions, Name Changes, Recapitalizations, Reorganizations, Stocks Declared Worthless
	Summaries of Capital Changes, Stocks Declared Worthless, Capital Changes and Stock Dividends for Obsolete Stocks

## Financial Bond Guide Service

Subscribers have access to details and call history on Corporate and Municipal bond.

<b>Corporate Bond Guide</b>	<b>Municipal Bond Guide</b>
Over 60,000 US and Canadian Corporate Bonds	Approaching 1.5 million US Municipal Bonds
Full Security Description, CUSIP or CINS, Interest Rate, Maturity, Place of Incorporation, Corporate	Full Security Description, CUSIP or CINS, Interest Rate, Maturity

Bankruptcies, Interest Payment  
Frequencies & Dates, Transfer  
Agent, Paying Agent, Registrar,  
Trustee

Full call date	Issue full call date
Issuer Name Change – new name and effective date	
Issuer Merger – acquiring entity name and effective date	

## 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 Corporate 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:

Worthless	Equity Unlikely	Non-Transferrable
<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>
Cashed Out	Exchanged	CUSIP Change No Exchange
<p>Includes all CUSIPs exchanged for cash only,</p>	<p>Includes CUSIPs which match to any event where an exchange of</p>	<p>Includes all CUSIPs where new CUSIP resulting from an event is</p>

such as cash mergers or redemptions.	certificates were required or where the necessity of exchange could not be determined, such as a merger for stock.	not an exact match to target CUSIP but no exchange of certificates was necessary, such as a name change.
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.	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.	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.

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

## 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 Holding Company
Bankruptcy	Full Call	Name Change	Reverse Split
Bankruptcy	Liquidation	Non-transferable Security	Stock Dividend
Reorganization	Liquidation Final	Par Value Change	Trust Termination
Charter Cancelled	Payment	Place of Incorporation	Worthless Security
Dissolved	Mandatory Conversion	Change	

# 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 Corporate 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 all combinations.

### **FAS or SRS Agent Query**

- The user can utilize the Basic Query Function to run a basic search with an 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)

The 'End-of-life' process, which includes file maintenance and ongoing portfolio management, involves comparing client CUSIP numbers to selected SRS records. This comparison entails matching the client's valid, nine-character CUSIP list to the SRS/LRS database, resulting in a subset of data that matches the client's list."



## Corporate 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. CAAS will automatically check CUSIPs and ISINs from subscribers' systems against FII and EDI Corporate 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.

# FTS Software

## Corporate Actions Announcement Processing System (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 and 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 exceptional 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, clearly identifying where risk conditions exist. This enables users to 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, 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

Back-office operations

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 industry.

## Strategy

- Create a Strategic vision to maximize your data use with a roadmap to get you to where you need to be for data implementation.
- 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 (New York Stock Exchange) 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

<b>Phone:</b> 908.334.2210	<b>Fax:</b> 908.222.5320	<b>Email:</b> <a href="mailto:helpdesk@fiinet.com">helpdesk@fiinet.com</a> <a href="mailto:info@fiinet.com">info@fiinet.com</a>
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## Social Media

Connect with us.

### Financial Information Incorporated

**LinkedIn:**

<https://www.linkedin.com/company/financial-information-incorporated-fii>

**Twitter:**

[https://twitter.com/financial\\_info?lang=en](https://twitter.com/financial_info?lang=en)

### FTS Software, Incorporated

**LinkedIn:**

<https://www.linkedin.com/company/fts-software-inc/>

# Contact Information

## Financial Information Incorporated (FII) and FTS Software, Inc

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