![APTEAN]

PIVOTAL® CRM FOR CAPITAL MARKETS

Build "Relationship Capital" with Powerful CRM Custom-Designed for Investment Banking and Institutional Sales, Trading, and Research

Pivotal CRM for Capital Markets is a complete, end-to-end client relationship management (CRM) tool that offers exceptional functionality tailored to the needs of both the investment banking and institutional sales, trading, and research divisions of capital markets firms.

Pivotal CRM for Capital Markets creates a comprehensive repository of information regarding deals, transactions,

Pivotal CRM for Capital Markets gives both sides of capital markets firms features to improve productivity and gain strategic insight.

- **Leverage relationships** more effectively with relationship-building tools and insight into inter-relationships

- **Improve collaboration** with automated workflows for managing deals and other complex processes

- **Develop a competitive edge** with faster delivery of time-sensitive research and information

- **Improve client satisfaction** with better-targeted service and research

- **Maintain information integrity** with a built-in "ethical wall"

- **Increase the productivity** of mobile personnel with access to key information and processes wherever and whenever required

clients, employees, contacts, and influencers, becoming the firm's most valuable information hub. With tools that help manage and leverage relationships and process deals, Pivotal CRM improves collaboration and increases productivity for Investment Banking. In addition, Pivotal CRM offers robust features to enhance and streamline interaction between Sales, Trading, and Research, delivering time-sensitive data and research to the right people more rapidly. The result is faster development of new institutional clients, higher satisfaction among existing clients, and better insight into client value and interests—all in a system that preserves data security and integrity within "ethical wall" boundaries.

Pivotal CRM for Capital Markets provides all of the standard features commonly needed by capital markets firms and reflects a data model devised specifically for capital markets, leading to a faster, lower-cost implementation. Built on the highly flexible Microsoft® .NET Framework–based Pivotal CRM platform, it is designed to be quickly and cost-effectively customized to meet individual firms' unique needs and easily integrated with third-party systems and data sources.

INVESTMENT BANKING: EFFECTIVELY MANAGE DEALS AND RELATIONSHIPS

Better, more thorough information management ensures no deal or relationship slips through the cracks. Pivotal CRM enables investment bankers to maintain a comprehensive

working-group list and share data on IPOs, M&As, and other deals between members for more effective collaboration. Road-show scheduling helps streamline execution. And relationship-management tools for scheduling calls and other nurturing activities ensure that important relationships—essential to bringing in deals—are well maintained.

SALES, TRADING, AND RESEARCH: EXECUTE MORE TRANSACTIONS AND DISTRIBUTE RESEARCH MORE EFFECTIVELY

Automatic notification of hot leads and new research, combined with comprehensive information about institutional-client holdings and interests, translates into faster, more precise matching of clients and information, leading to increased trade volume. Embedding structured custom workflows into the application ensures a consistent institutional-client experience and adherence to best practices. Streamlined automatic and ad-hoc distribution of analyst research increases value to clients and improves collaboration between Research and Sales and Trading.

INVESTMENT BANKING

Automates deal management for increased efficiency and coordination.

Relationship Management

Manages relationship-building activities with scheduling, call management, and more—Microsoft Outlook is "embedded" right within Pivotal CRM for seamless management of tasks and calendars.
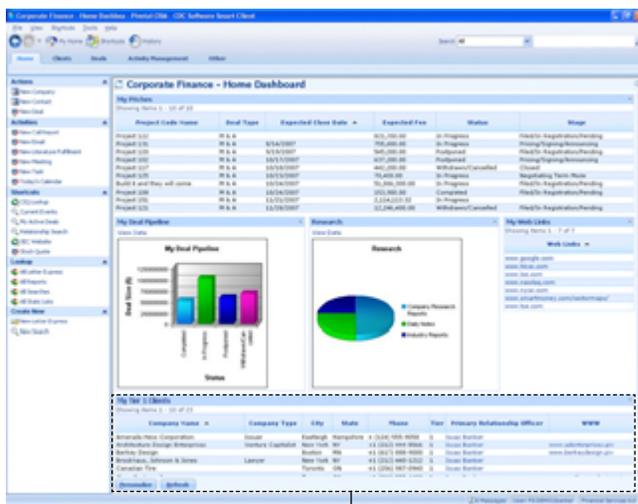
Deal Management

Captures key information such as portfolio-client name, expected date of transaction, amount, senior banker and team members, probability of success, and competition.
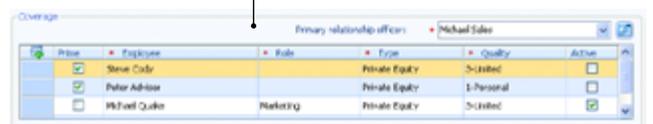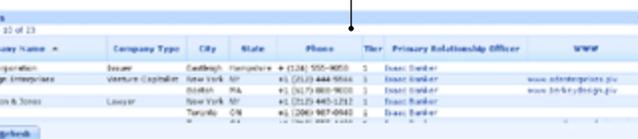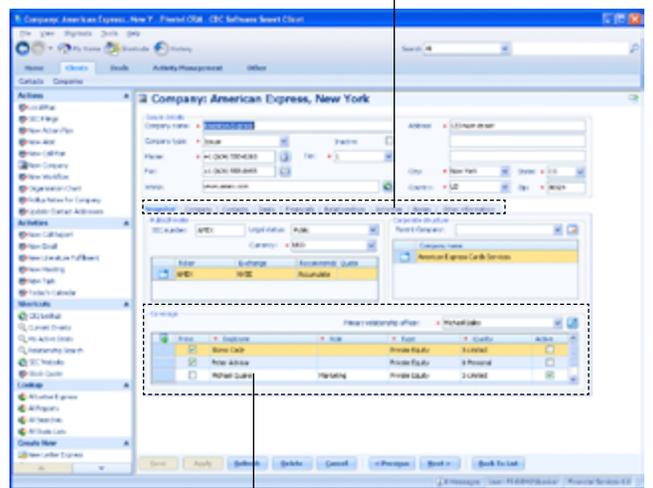
Easy one-click tab access to company details, contacts, financials, relationships, activities, and more

Fully personalized SharePoint-based dashboard

Convenient links to top deals and clients

Access all the most important information about a deal in a single screen

At-a-glance overview of coverage-team members

Allows team collaboration, pipeline reporting, and formal tracking and analysis. Tracks deals and maintains detailed record of pricing, number of shares issued, buyers of the stock (exempt list), retail participation on distribution, and syndicate members. Helps manage M&A deal process from pitch to buyer-list management to close of deal, as well as other specific workflows for other deal types. Manages secure role-based access to deal data.

Venture-Capital Investments
Tracks VC holdings manually or via third-party database integration to help identify new prospects.

Road-Show Scheduling
Allows quick capture of participants and facilitates scheduling, reporting, and subsequent evaluation for each road-show meeting.

Working-Group List
Maintains complete working-group list comprising the deal coverage team, intermediary team, syndication group, and senior banker.

SALES, TRADING, AND RESEARCH

Allows faster, more targeted research dissemination and greater interaction between Sales and Trading and analysts.

Call Reports
Easily generates reports to track communications with clients, creating a "corporate memory" and allowing analysis of client interests and holdings, market sentiment on portfolio clients, and strategic sales efforts.

Research Products
Tracks research products in the CRM application either directly or through interface to existing systems, allowing easy access for reference, reporting, and distribution.

Distribution Product Maintenance
Enables research production team to enter product metadata for highly targeted distribution.

Distribution Management
Tracks research preferences for each contact by sector/sub-sector, ticker symbol, and research analyst for automatic daily distribution of highly personalized research sets.

Trade Activity
Records internal trade activities and offers flexible searches such as "trade activity by institution" and "trade activity by portfolio client."

Power Searches
Produces client list by current holdings, activities, and interests based on ticker-symbol input, quickly generating trade ideas in response to changing bank recommendations.

Activity Notification
Enables users to quickly identify clients contacted that day through an optional SmartPortal display.

ALL BUSINESS AREAS

Eliminates "information silos" and duplicated effort, increases productivity, and delivers better strategic insight.

Reporting
Provides a powerful report engine that allows users to create ad-hoc reports.

Company/Contact Management
Offers instant access to the most relevant company and contact data, without clutter. Fields reflect capital markets needs and terminology.

Personalized Dashboard
Offers a one-stop dashboard that can be fully personalized to reflect individual user needs and preferences (e.g., deal pipeline, top contacts) and integrate external data sources, applications, and more via SharePoint Web Parts.

Audit Management
Tracks and stores all e-mail interactions between clients and the firm, as well as all changes and additions to records.

Executive-Assistant Management
Facilitates management of executive schedules and activities by appointed assistants.

Coverage Team
Offers extensive embedded team workflows and features, as well as team tracking on deals, contacts, and companies.

Associates/Associations
Identifies client and prospect influencers who can be key to success on deals.

Employee Profile
Uses employee record to drive custom content and manage coverage-team roles that enable task assignments.

Ad-Hoc Research Distribution
Enables users to e-mail any research item to single or multiple contacts.

Real-Time Data Feeds
Includes out-of-the-box Real Simple Syndication (RSS) reader to aggregate information feeds from external sources such as market data service providers.

Security
Offers separate Investment Banking and Research/Sales/Trading data views to preserve data integrity and security behind "ethical wall." Customizable to meet diverse compliance requirements. Gives mobile workers access to key account information and processes on RIM® BlackBerry® devices.

Mobile Access
Gives mobile workers access to key account information and processes on RIM® BlackBerry® devices.

User-Friendly Interface
Familiar Microsoft-style user interface with role-based navigation makes Pivotal CRM a comfortable application for users to work with, reducing the learning curve and improving productivity.

APTEAN

More than 9,000 customers around the world rely on us to give them a competitive edge. By providing innovative, industry-driven enterprise application software, Aptean helps businesses to satisfy their customers, operate most efficiently, and stay at the forefront of their industry.

For more information, visit: **www.aptean.com**