



# 2019 TMN CONFERENCE



Advancing the way the world  
pays, banks and invests



## About FIS

FIS IS A LEADING PROVIDER OF TECHNOLOGY SOLUTIONS FOR MERCHANTS, BANKS AND CAPITAL MARKETS FIRMS GLOBALLY. OUR 55,000 PEOPLE ARE DEDICATED TO ADVANCING THE WAY THE WORLD PAYS, BANKS AND INVESTS BY APPLYING OUR SCALE, DEEP EXPERTISE AND DATA-DRIVEN INSIGHTS. WE HELP OUR CLIENTS USE TECHNOLOGY IN INNOVATIVE WAYS TO SOLVE BUSINESS-CRITICAL CHALLENGES AND DELIVER SUPERIOR EXPERIENCES FOR THEIR CUSTOMERS. HEADQUARTERED IN JACKSONVILLE, FLORIDA, FIS IS A FORTUNE 500® COMPANY AND IS A MEMBER OF STANDARD & POOR'S 500® INDEX.

A leader in technology and services for merchants, banks and capital markets across the globe.

**\$9t**

Moved annually  
around the globe

**75b**

Transactions processed  
around the globe

**20k**

Clients

**1m**

Merchant  
locations

**1.3b**

Card served worldwide

**450**

Solutions

**+55k**

Colleagues in 52 countries

**198**

Operational  
facilities worldwide



Serving **60%** of the  
**top 10 largest merchants**



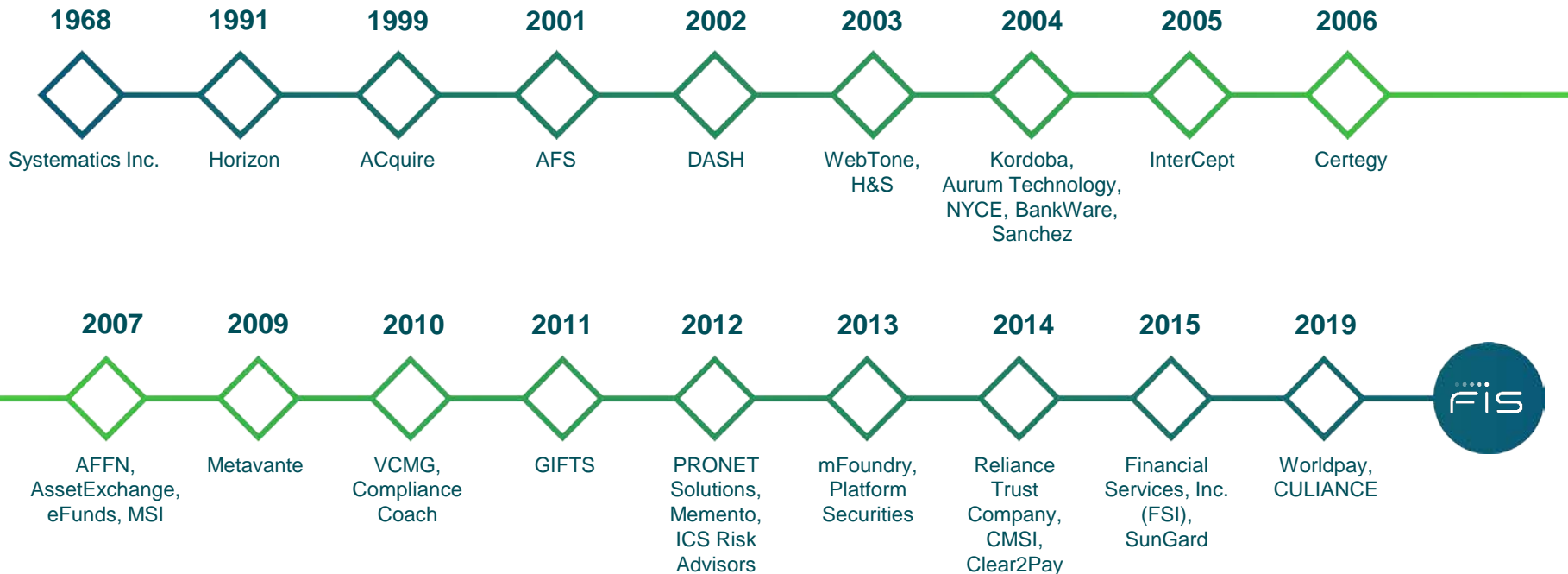
Serving **90%** of the  
**top 20 private equity firms**



Serving **90%** of the  
**top 50 largest global banks**

# The FIS history through strategic acquisitions

A combination of organic and external growth has positioned FIS as the world's leading technology provider for the financial services industry.



# Our Guiding Principles

	<p>BUILDING <b>TRUST IN ALL WE DO</b></p>
	<p>INSPIRING <b>A PASSION TO ACT</b></p>
	<p>FOSTERING <b>AN ENTREPRENEURIAL SPIRIT</b></p>
	<p>EMPOWERING <b>EMPLOYEE GROWTH</b></p>
	<p>ENCOURAGING <b>GIVING BACK</b></p>



# ROADMAP / ENHANCEMENTS



# Charlotte Road Map & Product Offering

## PAL & Mobile App

- **Portfolio Account Link (PAL)**
  - Intraday portfolio pricing
  - Self-enrollment ability for new PAL customers
  - OneSource tax forms on PAL
    - Request Web service delivery with OneSource
  - WSC tax forms on PAL
  - Multi factor authentication
  - RMD & RMD taken YTD in PAL
- **Mobile App**



# Charlotte Road Map & Product Offering

## Charlotte

- **Internet Enabled Charlotte (IEC)**
  - SQL 2012
  - Database encryption
  - Single Sign-On – FIS Wealth Integration
    - ✓ Wealthstation Core – Includes CRM
    - ✓ InvestorsView
- **2018A Release**
  - Attach documents in process management
  - Process Management purge history
    - Routing audit
  - Real-time transaction editing
  - SGN Equity Trading
  - Timeout settings

# Charlotte Road Map & Product Offering

## Charlotte

- **2018.2 Release (2018T)**
  - Ability to delete multiple records for Pending Disbursements, and some Master Files
  - Name & Address Master Record additions will now populate with the next available Name & Address Record number
  - Transaction Code 046 to Target Account for an Inherited Security
  - Balanced ACH File Data
  - “About” link added
  - Maintenance Log Enhanced
  - Two New Pension Category of Distribution Codes
  - PRS enhanced to allow entry of Account Number
  - MFOE (Mutual Fund Order Entry) Recap Message

# Charlotte Road Map & Product Offering

## Charlotte

- **2019.1 Release**
  - SQL 2016 Upgrade
  - Pending Items Report Enhanced
  - Mass reassign of the Primary and Alternate User IDs in Ticklers
  - Filter on Owner in AFS Open Reports
  - Add security from Posting
  - Security Add/Edit from Asset Details and Confirmed Trades
  - Foreign Country dropdown from Security Master
  - User Preference Save Options
  - Hyperlink to inherited N&A
  - Voltage Encryption
    - Mainframe
  - In-house clients must have .Net4.6 installed prior to upgrade
    - On Comm PC
    - Download from Microsoft website

# Charlotte Road Map & Product Offering

## Charlotte

- **2019.2 Release**
  - Mutual Fund Trading through Reliance Trust
  - Integration for account digital onboarding
    - Harvest Savings & Wealth Technologies (formerly Trizic)

# Charlotte Road Map & Product Offering

## Charlotte

- **2020 Release Candidates**

- Tax and Regulatory
- Cash Projection Report
- Investment Review Report print enhancements
- Investment Review drill-down links
- IEC edit of related doc
- Allow accounts to be consolidated for statements in multiple consolidated groups
- Additional customization fields for Account Balance and Overdraft Reports
- Chrome Support
- PAL e-sign consent
  - Electronic statements

# Mobile App

- **Provides ability for your customers to access PAL from their mobile device**
- **Available for iPhone and Android devices**
- **In the stores by institution name/image**
  - Apple App Store®
  - Android Google Play™
- **Institutional-level branding**
- **Requires Addendum**

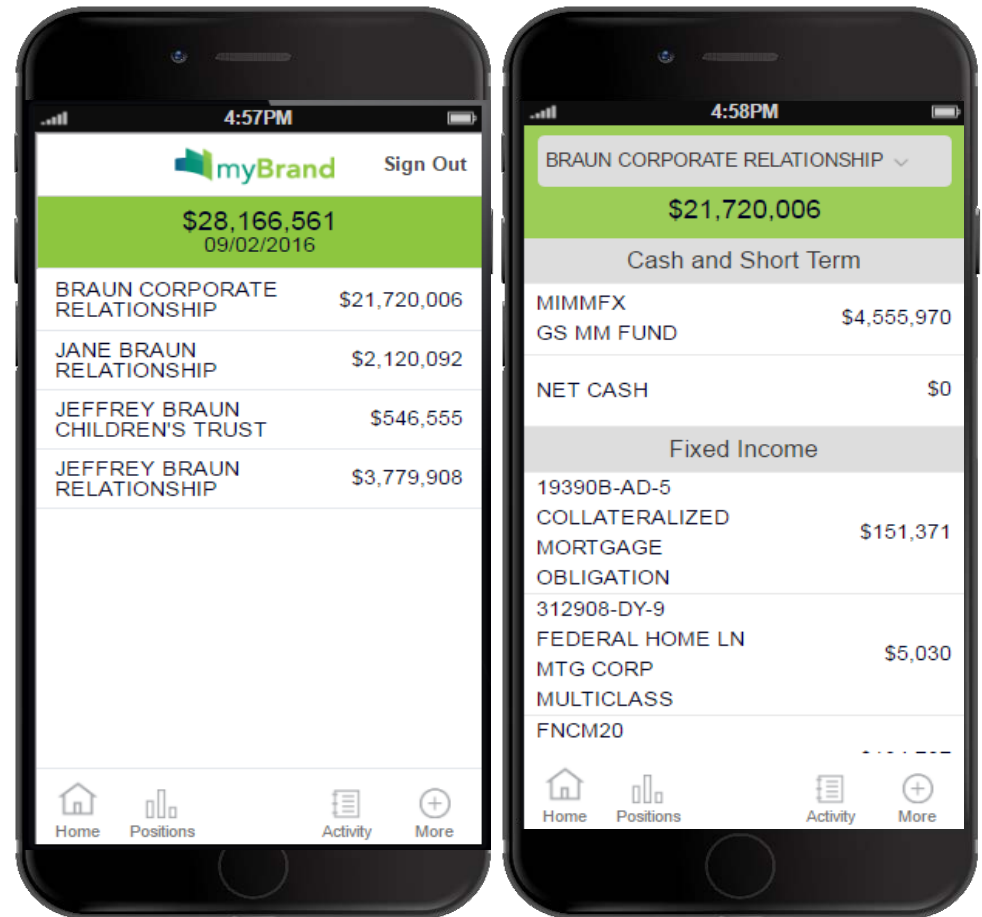


# MOBILE APP

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# Mobile App

- Information is simple and concise, yet informative.
- Sign in presentment
  - Financial Summary or Portfolio Snapshot page
- View by group or individual account
- Positions
  - List
  - Tap to detail
- Transactions
  - YTD Summary
  - Activity list in chronological date order for a maximum of 30 days
  - Tap to detail

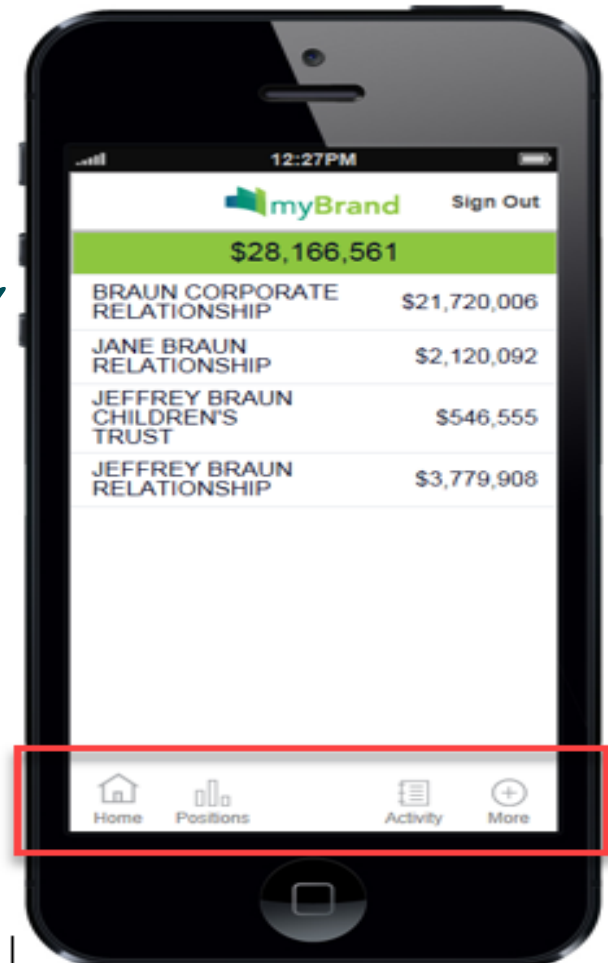




# Mobile App – Home Page Portfolio Snapshot

- Initial landing page after successful login
- Branded logo displayed at top of page
- Each market value listed is a link that allows the user to navigate to the positions page for the associated account.

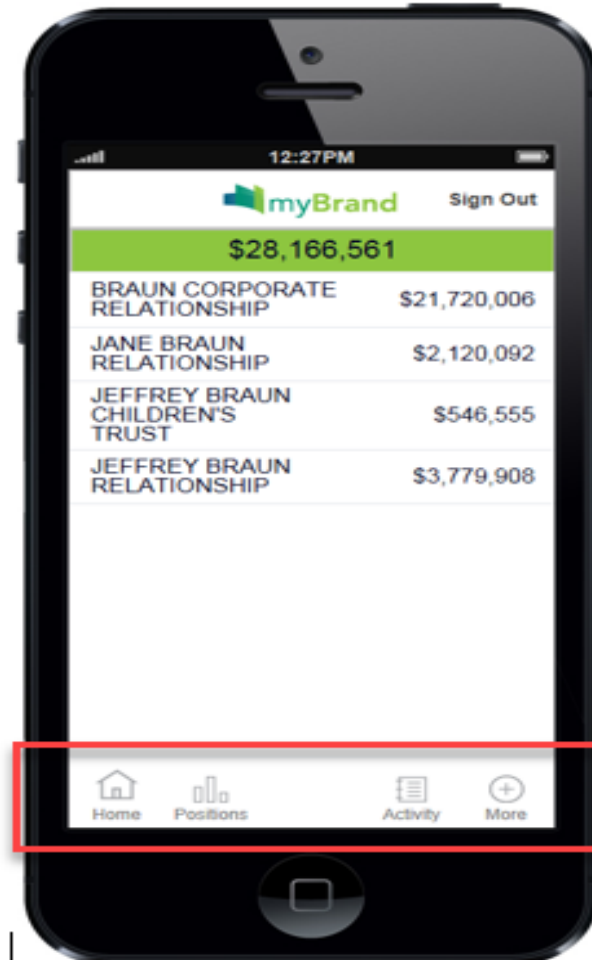
Total Portfolio  
Market Value



# Mobile App

- Home Page – Portfolio Snapshot
- Positions
- Activity
- More

Users have option to navigate to four main sections.



# Mobile App – Positions Page

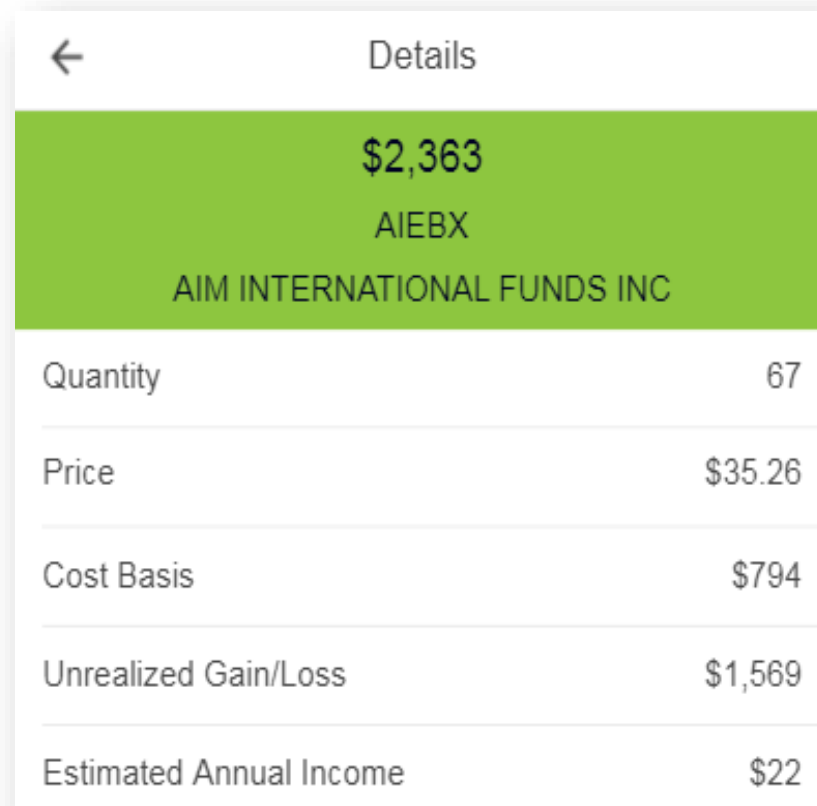
- Positions are listed and organized by Reporting Groups.
- Dropdown at top allows users to navigate to other accounts.
- Security Identifier, Security Description, and Market Value are displayed.
- When any security is tapped, the Positions Detail Page is displayed.

MARY R. BARNHILL AGY	
\$40,707,891	
▶ CASH	
▼ MUTUAL FUNDS	
CHTRX AIM CHARTER FUND # 010	\$26 >
GTAGX AIM MIDCAP CORE EQUITY CL A	\$2,830 >
LEIFX FEDERATED EQUITY INCOME A	\$12,975 >
VGT VANGUARD WORLD FDS INF TECH ETF	\$175,016 >
VGT VANGUARD WORLD FDS INF TECH ETF	\$175,016 >
▼ CASH EQUIVALENTS	
A BANK AND TRUST CD	\$140,000 >
▶ EQUITIES	
▶ MISCELLANEOUS ASSETS	

Home   Positions   Activity   More

# Mobile App – Positions Details

- Header includes Market Value, Security Description, and Ticker (if available).
- Details include:
  - Quantity
  - Unit price
  - Cost Basis
  - Unrealized Gain/Loss
  - Estimated Annual Income



The screenshot shows a mobile app interface for 'Positions Details'. At the top, there is a back arrow and the title 'Details'. Below this, a green header bar displays the market value '\$2,363', the ticker 'AIEBX', and the security name 'AIM INTERNATIONAL FUNDS INC'. The main content area is a table with the following data:

Quantity	67
Price	\$35.26
Cost Basis	\$794
Unrealized Gain/Loss	\$1,569
Estimated Annual Income	\$22

# Mobile App – Activity Summary

- When the Activity icon is selected from any page of the app, the Activity Summary will display.
- A summary and total will be given for the year to date activity.
- Transactions are grouped using your institution's defined transaction category descriptions.

EDWARD BARNHILL TUA	
Year to Date Activity	
<a href="#">View Activity Information</a>	
Receipts	
EXEMPT INTEREST DIVIDENDS	\$2.40
ORDINARY DIVIDENDS	\$11,159.77
PROCEEDS FROM THE WITHDRAWAL OF ASSETS	\$11,344.98
<b>Total Receipts</b>	<b>\$22,507.15</b>
Disbursements	
DISBURSEMENTS TO OR FOR BENEFICIARIES	-\$10,161.79
PURCHASES OF ASSETS	-\$11,162.17
<b>Total Disbursements</b>	<b>-\$21,323.96</b>
Realized Gain/Loss	
Home      Positions <b>Activity</b> More	

# Mobile App – Activity Details

- When View Transaction Activity is tapped from the Activity Summary, the Activity page will display.
- Allows user to view most current 10 days of transaction activity.
- User can drill down on each transaction to view additional transaction information.
- Option to view additional 20 days for total of 30 days.

The screenshot displays the mobile app's activity details. At the top, a dropdown menu shows 'SUSAN DOE REV TRUST'. Below this is a list of transactions:

Description	Amount
DIVIDEND ON 30 SHARES @ 0.10 AMR CORPORATION Posted: 08/31/2018	\$3.00
DIVIDEND ON 200 SHARES @ 0.2125 CONAGRA FOODS INC Posted: 08/31/2018	\$42.50
MONTHLY DISTRIBUTION TO ANOTHER ACCOUNT Posted: 08/31/2018	-\$4,512.62
REDEEM FED MSTR TR FD 18 Posted: 08/31/2018	\$4,467.12

At the bottom of the list is a link: [View additional 20 days of activity](#).

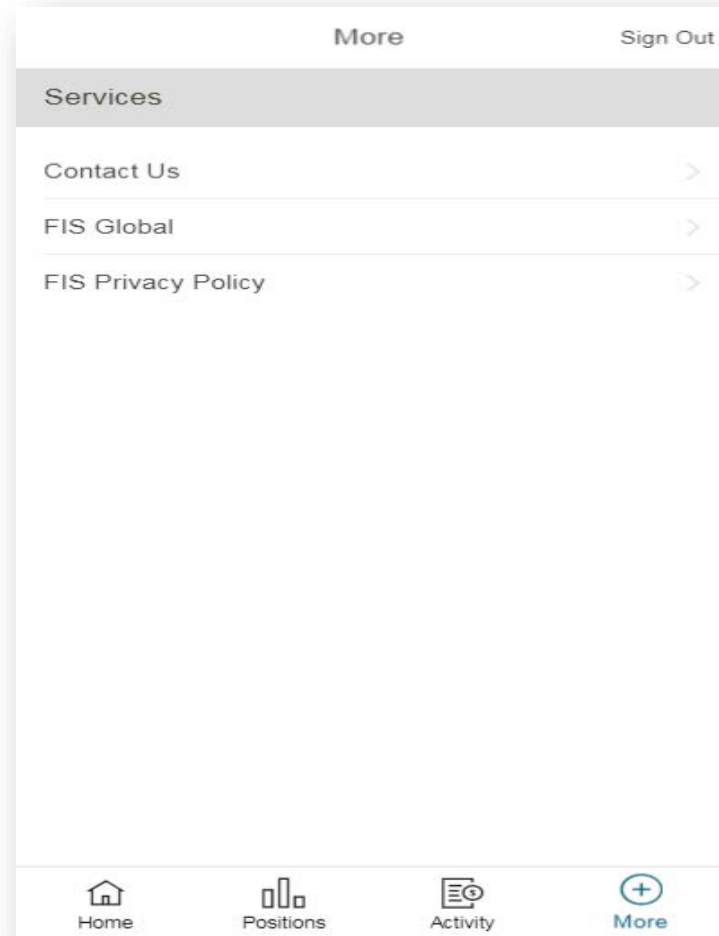
The drill-down view for the 'REDEEM FED MSTR TR FD 18' transaction is shown on the right. It includes the following details:

Field	Value
Amount	\$4,467.12
Cost	-\$4,467.12
Trade Date	08/31/2018
Settle Date	08/31/2018

A green arrow points from the 'REDEEM FED MSTR TR FD 18' transaction in the main list to the 'Settle Date' field in the drill-down view.

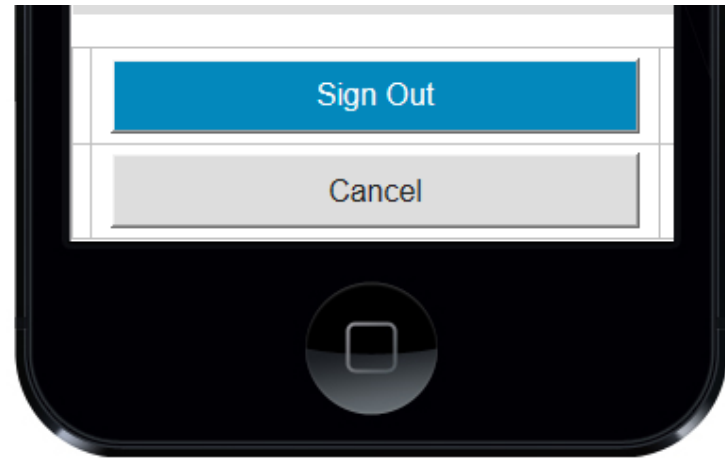
# Mobile App – More Page

- By tapping the More Icon, users will be directed to the More Page.
- Allows your institution to offer additional information to your customers:
  - Contact Information
  - Links
- The Sign Out Link is available on both the Home Page and the More Page.



# Mobile App – Signing Out

- To protect the user's information and the integrity of the Mobile App, there are several ways a session can end on the Mobile App:
  - The user signs out within the Mobile App.
  - The user has inactivity in the Mobile App.
  - The user closes the Mobile App.





# Mobile App Information

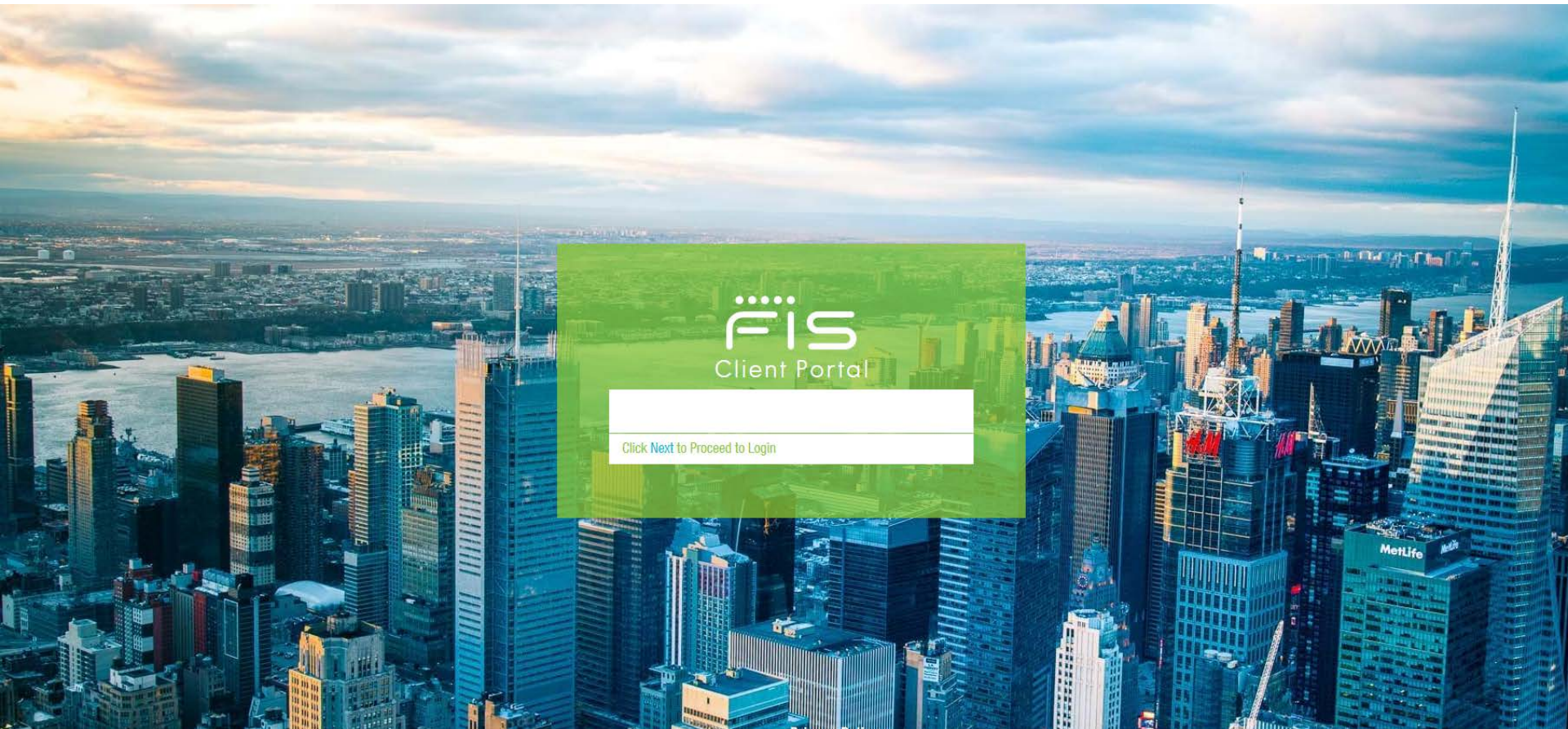
- **PAL credentials are used to access the mobile app.**
- **Customer statements are not currently available with the mobile app.**
- **Dual factor authentication is available if it is being used to access PAL.**
- **Mobile touch and face ID recognition are available; however, features must be available on your mobile device.**
- **PAL password and/or security questions cannot be updated in the app.**
  - Only available in PAL browser version
- **Self-Enroll is not available in the app.**
- **Capabilities are the same for Apple and Android users.**
- **Each client can customize the name of the app in the App store to best suit their needs.**



# FIS' CLIENT PORTAL

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# FIS Client Portal



# FIS Client Portal

- FIS | Client Portal
- Dashboard
- My Products
- Bulletins
- Community
- Vendor Management
- Invoices
- Reports
- Support
- Administration

Good morning, Martha!



Emulate | Martha Connell | MC

### Client Support Process Guidelines

FIS created the **Client Support Process Guidelines** to serve as our way to communicate consistent and standard support processes.

Click anywhere on this banner to access our Support page and then click on Client Support Process Guide Link to learn more.

#### Urgent Bulletins

- August 26, 2019 10:46 PM (GMT)  
**SECURLOCK EQUIP CONNECTION MAINTENANCE**  
EFT Services - Norcross will perform maintenance to the SecurLOCK Equip connection on Thursday, Aug. 29, 2019, from 2:00 a.m. - 6:...
- August 26, 2019 10:37 PM (GMT)  
**EFT SERVICES – NORCROSS HOST AND ATM CONNECTION MIGRATION POSTPONED**  
EFT Services - Norcross is postponing the Tuesday, Aug. 27, 2019 migration originally announced in FIS Bulletin EFT Services - Norcro...
- August 26, 2019 10:57 PM (GMT)  
**RESOLUTION - WEBSKAN SCANNING AND MEMO POST**  
FIS has resolved an issue that affected the Commercial Capture Xpress application as of 3:52 a.m. CT. Users may have experienced s...

[See All Urgent Bulletins](#) →

#### General Bulletins

- August 27, 2019 03:38 PM (GMT)  
**LABOR DAY HOLIDAY**  
Holiday schedule for Labor Day Originate Support FIS Originate Support, support will be closed on Monday, on September 2nd 2019,...
- August 27, 2019 11:13 AM (GMT)  
**BULLETIN\_2019-022 - 2019 HORIZON COMMON CALENDAR UPDATE REMINDER**  
Updates to the holiday table in HORIZON must be completed at least three processing days before the holiday. Please set up your holi...
- August 27, 2019 01:29 AM (GMT)  
**RELEASE NOTES FOR FLO 2019.1.1.6 (HOT FIX)**  
Release notes for hot fix 2019.1.1.6 are now available and are attached to this Bulletin. FLO is pleased to announce hot fix 2019.1.1.6...

[See All General Bulletins](#) →



# FIS Client Portal – My Products

FIS | Client Portal

Dashboard

My Products

Bulletins

Community

Vendor Management

Invoices

Reports

Support

Administration

### My Products

#### Frequently Viewed

- Charlotte
- TrustDesk
- Advantage
- Bankway

#### All My Products

A-F G-K L-P Q-U V-Z

- ACBS
- Account Ownership
- Account Recon Positive Pay Advantage
- ACH Tracker Processing
- Actimize Essentials
- Adaptiv
- Address Analysis
- Advantage
- ADEPT
- Advantage
- AI Manage
- AI Secure
- AI Voice
- Aligne
- Ambit BancWare
- Ambit Capital Manager
- Ambit Focus

# FIS Client Portal – My Products

Dashboard

My Products

Bulletins

Community

Vendor Management

Invoices

Reports

Support

Administration

**FIS AND WORLDPAY COMBINE TO ADVANCE COMMERCE AND THE FINANCIAL WORLD**

[Read the press release](#) →

My Products Charlotte

## Bulletins and Activities

<b>BULLETINS</b> >	AUGUST 27, 2019 03:49 PM (GMT)	GENERAL	Labor Day Holiday
SUPPORT TICKETS >	AUGUST 27, 2019 04:16 PM (GMT)	GENERAL	09152019 1.11.7 Release
CONTACT US >	AUGUST 27, 2019 03:38 PM (GMT)	GENERAL	Labor Day Holiday
	AUGUST 27, 2019 11:13 AM (GMT)	GENERAL	Bulletin_2019-022 - 2019 HORIZON Common Cal

# FIS Client Portal – My Products

## Resources and Tools

STRATEGY

DOCUMENTATION




SERVICES

TRAINING

### Product Strategy Documents

FILTER BY: ALL

Search:

ALL	Document Name	Date	Action
	<a href="#">FIS - Investment Advisor Interfaces</a>	March 20, 2018	<a href="#">Download</a>
	<a href="#">Cash Sweep Insured Deposit Platform Product Sheet</a>	March 20, 2018	<a href="#">Download</a>
	<a href="#">Charlotte Add On Products and Interfaces Product Sheets</a>	March 20, 2018	<a href="#">Download</a>

# FIS Client Portal – Vendor Management

The screenshot displays the FIS Client Portal interface. On the left is a navigation menu with the following items: Dashboard, My Products, Bulletins, Community, Vendor Management (highlighted in teal), Invoices, Reports, Support, and Administration. The top right of the main content area shows a personalized greeting: "Good afternoon, Martha!". Below this is the main heading "Vendor Management". The primary content is a "Vendor Management Resource Center" which is a teal bar with a right-pointing arrow. Below this are several list items, each with a right-pointing arrow: Risk Information Security and Compliance, External Audit & Controls Validation, Company Information, FIS Policy Summaries, Regulatory Matters, Industry Hot Topics, In-Depth Conferences, and General Data Protection Regulation (GDPR).



# FIS Client Portal – Vendor Management

Good afternoon, Martha

Vendor Management

- Vendor Management Resource Center
- Risk Information Security and Compliance
- External Audit & Controls Validation
- Company Information
- FIS Policy Summaries
- Regulatory Matters
- Industry Hot Topics
- In-Depth Conferences
- General Data Protection Regulation (GDPR)

### Vendor Management Resource Center

FIS is pleased to provide our clients with access to the FIS Vendor Management Resource Center – a self-service portal that offers a comprehensive and streamlined set of resources to effectively manage your third-party relationship with FIS.

Strong vendor oversight has emerged as one of the top management and regulatory priorities across the financial services industry.

More than a collection of standard governance reports, the Vendor Management Resource Center continues to provide FIS clients with a wide-range of information to support your vendor management programs.

Whether you leverage a single solution, or are heavily integrated with multiple FIS products and services, you can strengthen your third-party vendor management program by leveraging the material provided here and using this resource to hold your other vendor partners accountable for the same transparency.

A description of all content located in the Resource Center can be found in the [Vendor Management Resource Center Guidebook](#).

For a list of recent document additions and updates to the Vendor Management Resource Center [click here](#).

I want...

SELECT A TOPIC

# FIS Client Portal – Vendor Management

Good afternoon, Martha!



Emulate | Martha Connell

## Vendor Management

- Vendor Management Resource Center >
- Risk Information Security and Compliance >**
- External Audit & Controls Validation >
- Company Information >
- FIS Policy Summaries >
- Regulatory Matters >
- Industry Hot Topics >
- In-Depth Conferences >
- General Data Protection Regulation (GDPR) >

### Risk, Information Security and Compliance (RISC)

Reporting to the CEO, Greg Montana serves as FIS' Chief Risk Officer, and heads the Risk, Information Security, and Compliance (RISC) organization. This organization fits neatly within the Three Lines of Defense model as the Second Line of Defense.

Over the past few years, we have built a team of leaders and subject matter experts that is unsurpassed in our industry. Pulling from all areas of both the public and private sector, as well as internally, FIS has assembled a team of seasoned professionals who are deep experts in Security and Risk strategy, technology, process, and sustainability.

Click on the links below to access information:

#### [RISC Overview](#)

The RISC Overview explains FIS' Three Lines of Defense model and defines where the RISC Organization fits. The Overview also describes the different programs that comprise the RISC organization, as well as the top five risks that face FIS as an organization.

#### [Defense in Depth](#)

At FIS, our first priority is to protect clients' data and financial interactions. To achieve this, we supply a Secure by Design philosophy, whereby every action taken and every decision made is viewed through the lens of security. The basic premise of being Secure by Design is that cybersecurity has no end state: that a need for constant vigilance, scrutiny and self-improvement is essential to remain ahead of cyber threats. FIS employs a defense-in-depth strategy by putting multiple compensating controls into place to protect our clients' data from malicious activity. These combined efforts, sorted in the Defense in Depth Strategy document by their purpose to prevent, detect, and respond, demonstrate our approach to threat mitigation.

#### [RISC Liaison Program and Business Unit Risk Officer \(BURO\) Program Overview](#)

FIS established the RISC Liaison Program at the direction of the FIS Board of Directors. As First Line of Defense operations personnel, RISC Liaisons focus on implementing RISC programs, policies and remediating issues and program/policy gaps. RISC Liaisons champion FIS' RISC culture inside the Business Units. The Business Unit Risk Officer (BURO) program was launched in January 2016 as a Second Line of Defense challenge function. BUROs are primarily focused on oversight of the identification, mitigation, monitoring and reporting of material risk.

### All Reports

[Information Security](#) [Compliance](#) [Insurance](#) [Risk Management](#) [Internal Audit](#) [Privacy](#) [Governance](#)

# FIS Client Portal – Vendor Management

Good afternoon, Martha!



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## Vendor Management

Vendor Management Resource Center >

Risk Information Security and Compliance >

External Audit & Controls Validation >

Company Information >

FIS Policy Summaries >

Regulatory Matters >

Industry Hot Topics >

In-Depth Conferences >

General Data Protection Regulation (GDPR) >

### External Audit and Controls Validation

Welcome to the External Audit and Control Validation section of the Resource Center. Please click on the + symbols below to expand the various available reports.

For any inquiries regarding Service Auditor Reports, PCI Reports, PA DSS, MC & Visa Production Certifications or Visa PIN reports please contact: [Report Inquiries](#).

For any inquiries regarding the Continuity Program documents please contact: [Continuity Program Office](#).

For any inquiries regarding the Shared Assessments SIG Questionnaire or other general Vendor Management Resource Center related questions please contact: [Client Risk Relations](#).

FIS recently collaborated with Grant Thornton LLP in creating a webinar focused on discussing System and Organization Control (SOC) Reporting, including SSAE18, and more. Please [click here](#) to access the archived webinar titled "FIS SOC Report Webinar". The referenced slides can be found under the Service Auditor Reports header below.

Search

Clear Search

All Reports  My Product Reports [About the Product Filtering Button](#)

### All Reports

- Service Auditor Reports
- Continuity Program Office
- ISO Certifications
- Shared Assessment Standard Information Gathering (SIG) Questionnaires
- PCI Reports
- PA DSS
- MC & Visa Production Certifications
- VISA PIN / TR-39
- Security Scorecard
- National Automated Clearing House Association (NACHA)



QUESTIONS?

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