

## About Confluence

Founded in 1991, Confluence is a global leader in fund administration automation. Confluence helps investment management companies gain unprecedented control by automating the fund administration process—including the collection, creation, confirmation and delivery of investment product data—while maintaining control of the process. Results are lower costs, reduced risk, decreased reporting turnaround times, and the scalability to automate more processes without additional resources. Confluence solutions are used by 40 percent of the leading global investment managers and more than 60 percent of U.S. mutual funds.

The Unity platform from Confluence addresses a wide range of problems from performance measurement to financial reporting for a full array of domestic and international managed investment products, including mutual funds and variable products, as well as hedge funds and other alternative investments. Major fund companies such as T. Rowe Price and Russell Investments, and service providers such as The Bank of New York rely on Confluence. Headquartered in Pittsburgh, PA, Confluence serves the international fund industry with key locations in London and Luxembourg.

## To Learn More

The Unity platform from Confluence provides fund administrators with automated solutions for a multitude of back-office financial, marketing and reporting challenges. To learn more about the Unity platform and Consulting Services practice, contact us at 412.802.8632 or [info@confluence.com](mailto:info@confluence.com).

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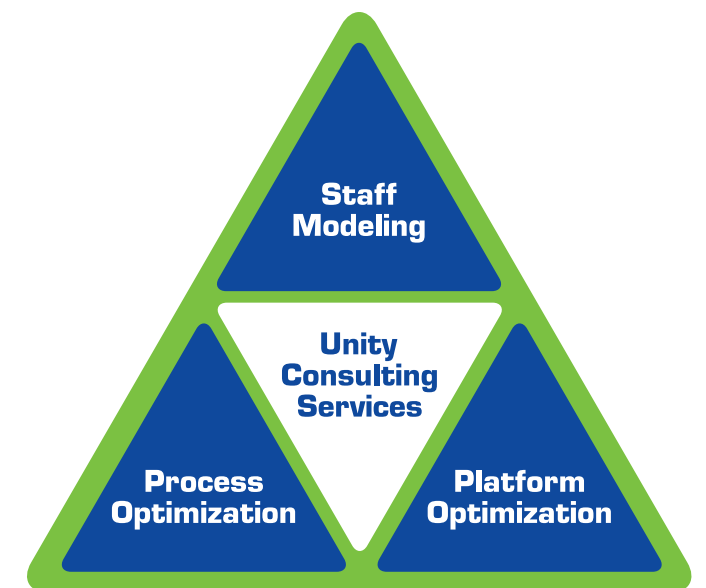
# Unity® Consulting Services

## Optimizing People, Process and Technology to Maximize Success

When it comes to the success of any fund administration data consolidation and automation initiative, selecting the right technology is essential, but not enough. Realigning your staff roles and responsibilities and processes are also pre-requisites to achieving maximum business process improvement.

That's why Confluence has a team of professional services consultants dedicated to helping clients optimize people, processes and technology. With a thorough understanding of fund services back-office operations, our team applies proven best practices to help clients identify the changes necessary to effectively structure staffing models, improve business processes and utilize the Unity platform to achieve optimized business results.

After carefully analyzing a client's operational environment, our consulting team can present an action plan to facilitate process improvements, efficient staffing, and Unity platform optimization to achieve reporting cycle business goals. And we will work with clients to efficiently implement those changes each step of the way.



*Unity Consulting Services applies best practices in Staff Modeling, Platform Optimization and Process Optimization to enable fund administrators to achieve maximum business results from the investment in data consolidation and automation with the Unity platform.*

## Staff Modeling Services

Provides clients with recommendations on proper staffing and structuring of various back-office business units around the use and optimization of the Unity platform.

Benefits include increased resource utilization, improved scalability to meet rapid growth demands, and increased control by providing staff role and responsibility clarity.

## Platform Optimization

Identifies opportunities to create more efficient processes by assessing current platform procedures and workflows, while applying best practices to reduce re-work, and expand capacity within and across fund administration services through automation. Benefits include increased resource utilization, improved scalability to meet rapid growth demands, reduced risk, and increased efficiency to meet internal and external deadlines.

## Process Optimization

Assesses all process steps and actions by conducting a detailed analysis of a client's current environment. Identifying value-added versus non-value added activities that will reduce waste and redundancies in a client's current operation. We accomplish this by using various problem-solving tools available to the industry, such as root-cause analysis, Ishikawa diagrams, or the Five Whys technique.

Benefits include the ability to identify value-added versus non-value added activities, optimize processes, reduce waste and redundancies, eliminate non-essential activities, and provide a baseline for understanding the present state of operations and establishing goals for change management.

Service	Benefits	Who Should Consider	Components	Deliverables
<p><b>Staff Modeling</b></p> <p>Provides clients with recommendations on proper staffing and structuring of various back-office business units around the use and optimization of the Unity platform.</p>	<ul style="list-style-type: none"> <li>Increase resource utilization</li> <li>Improve scalability to meet growth demands</li> <li>Increase control through role clarity</li> </ul>	<ul style="list-style-type: none"> <li>New clients seeking maximum results from the Unity platform</li> <li>Existing clients structured to support "old" manual processes</li> <li>Clients planning to restructure operations</li> <li>Clients facing scalability issues</li> </ul>	<ul style="list-style-type: none"> <li>Evaluate current situation</li> <li>Confirm desired situation</li> <li>Identify barriers and constraints</li> <li>Identify current and forecasted staff demand</li> <li>Create service offering deliverables</li> </ul>	<ul style="list-style-type: none"> <li>Staff Profile Report Recommendation</li> <li>Organizational Chart Recommendation</li> <li>Demand Forecasting</li> <li>Research Utilization Report and Recommendation</li> </ul>
<p><b>Platform Optimization</b></p> <p>Identifies opportunities to create more efficient processes by reviewing and analyzing platform procedures and workflow and applying best practices to reduce re-work, expand capacity within and across product lines and identify opportunities for increased automation and capacity.</p>	<ul style="list-style-type: none"> <li>Increase resource utilization</li> <li>Improve scalability for rapid growth</li> <li>Reduce risk</li> <li>Increase efficiency to meet deadlines</li> </ul>	<p>Organizations with:</p> <ul style="list-style-type: none"> <li>High employee turnover in key areas</li> <li>Increased book of business or launch of new funds</li> <li>Internal initiatives to reduce processing/cycle times through automation</li> </ul>	<ul style="list-style-type: none"> <li>Evaluate current situation</li> <li>Confirm desired situation</li> <li>Identify research responsibilities</li> <li>Identify barriers and constraints</li> <li>Create service offering deliverables</li> </ul>	<ul style="list-style-type: none"> <li>Process Flow Diagram Recommendation</li> <li>Analysis Findings Report</li> <li>Risk Assessment Report</li> <li>Recommended Action Report</li> </ul>
<p><b>Process Optimization</b></p> <p>Identifies and classifies all process steps and actions based on detailed analysis and best practice procedures. Categorizes value-added, non-value added and necessary business steps to reduce waste and redundancies.</p>	<ul style="list-style-type: none"> <li>Identify value-added vs. non-value added activities</li> <li>Optimize processes, reduce waste and redundancies</li> <li>Eliminate non-essential activities</li> <li>Provide baseline for change management</li> </ul>	<ul style="list-style-type: none"> <li>Highly functioning manually and technologically tasked offices</li> <li>Companies whose processes rely on internal and external dependent resources</li> <li>Companies looking to improve performance and increase their bottom line</li> <li>Companies looking to streamline sales and operational cycle times</li> </ul>	<ul style="list-style-type: none"> <li>Process map all activities</li> <li>Perform Detail Study analysis</li> <li>Complete Resource Utilization Study</li> <li>Implement Statistical Process Control method</li> </ul>	<ul style="list-style-type: none"> <li>Staff Profile Report - current and recommended</li> <li>Organizational Chart - current and recommended</li> <li>Demand Forecasting Report - current and future demand vs. recommended staffing levels</li> <li>Resource Utilization Report with recommended staffing levels</li> </ul>