

FACTSET ORDER MANAGEMENT AND COMPLIANCE

Seamlessly manage your investment workflow and streamline tasks across your portfolios with FactSet's fully integrated, cloud-hosted order management and compliance solution (OMS).

Instrument	Ticker	L/S	Ccy	Ordered	Ordered Val	Qty	LAST	ASK	Book Prc	Book Val	Close Prc	Value	Exp	Port	FX Hedge	Pos Wgt	DID	PNL
Barclays PLC Sponsored ADR	BCS-US	Long	USD	95,823	957,812	103,566	10.07	10.19	87,500	87,500	1,056,312	1,056,312	0.04	-3,106.98				
HSBC Holdings plc Sponsored ADR	HSBC-US	Long	USD	20,021	957,815	23,506	43.14	48.43	187,907	187,907	1,136,722	1,136,722	0.09	-4,231.08				
ING Group NV Sponsored ADR	ING-US	Long	USD	21,518	957,775	60,355	18.15	18.12	707,499	707,499	1,056,272	1,056,272	0.37	0.00				
Credit Agricole SA Un-sponsored ADR	CRARY-US	Long	USD	106,941	957,816	115,408	9.05	9.06	86,372	86,372	1,036,188	1,036,188	0.04	0.00				
Banco Santander S.A. Sponsored ADR	SAN-US	Long	USD	58,302	388,874	181,715	6.65	6.65	892,328	892,328	1,081,201	1,081,201	0.36	1,817.15				
American Express Company	AXP-US	Long	USD	12,649	957,779	14,226	77.07	76.92	78,75	78,75	1,127,078	1,127,078	0.07	-711.30				
Berkshire Hathaway Inc. Class B	BRKB-US	Long	USD	5,868	957,809	6,188	155.08	155.16	165,37	165,37	1,024,482	1,024,482	0.03	928.20				
Intesa Sanpaolo S.p.A. Sponsored AD	ISNPY-US	Long	USD	45,697	957,820	52,344	20.82	20.74	20,63	112,144	1,079,964	1,079,964	0.06	2,817.20				
Astrazeneca PLC Sponsored ADR	AZN-US	Long	USD	-154	-5,028	2,932	32.55	32.55	32,53	101,591	1,030,315.4	1,030,315.4	0	0.3447				-10,500.07
Sanoofi Sponsored ADR	SNY-US	Long	USD	-226	-10,963	4,304	48.33	48.55	48,91	221,472	210,508	210,508	0.11	-774.72				
GlaxoSmithKline plc Sponsored ADR	GSK-US	Long	USD	-227	-9,847	4,318	1.18	43.47	42,47	193,263	183,406	183,406	0.00	-182,236.87				
Johnson & Johnson	JNJ-US	Long	USD	-136	-17,341	2,874	127.68	127.48	132,48	358,343	341,002	341,002	0.18	437.58				
Eli Lilly and Co	LLY-US	Long	USD	-129	-10,057	2,480	77.68	77.81	83,79	216,182	206,125	206,125	0.10	-888.80				
Merck & Co. Inc	MRK-US	Long	USD	-62	-5,974	1,750	84.75	84.53	62,07	114,897	108,914	108,914	0.05	-295.45				
Novartis AG	NVS-US	Long	USD	-144	-12,318	2,736	65.37	65.20	83,09	239,645	227,327	227,327	0.13	-445.12				
Pfizer Inc.	PFE-US	Long	USD	-422	-13,525	8,008	32.00	31.99	33,29	280,045	266,520	266,520	0.14	-400.40				
Bayer AG	BAY-US	Long	USD	-68	-8,756	1,254	132.15	132.53	128,31	169,654	160,898	160,898	0.09	-652.08				
Roche Holding	ROH-US	Long	USD	-215	-4,090	4,090	31.48	31.38	31,55	135,850	129,080	129,080	0.07	-40.90				
ABB Ltd. Sponsor	ABB-US	Long	USD	14,232	14,232	603,903.6	25.02	25.08	25,26	65,395	603,903.6	603,903.6	0	0.3444				219
Siemens AG	SIE-US	Long	USD	2,193	2,193	25.02	25.08	25,26	65,395	25,26	65,395	65,395	0.03	-55.79				
United Techn	UNITE-US	Long	USD	3,719	3,719	69.81	69.30	70.12	260,759	70.12	260,759	260,759	0.13	223.14				
FANUC CORP	FANUS-US	Long	USD	883	121,65	132,03	123.71	123.71	106,762	123,71	106,762	106,762	0.06	-362.46				
General Elect	GE-US	Long	USD	2,487	19,62	19,69	19.80	19.80	48,354	19,80	48,354	48,354	0.03	24.67				
Information Tech	INFO-US	Long	USD	4,990	27,91	27,78	26.68	26.68	132,634	132,634	132,634	132,634	0.07	399.20				
Alibaba Group	ALIBA-US	Long	USD	26,492	26,492	2,724,033.66	149.00	149.00	149,00	2,241,006.05	2,241,006.05	2,241,006.05	0	1.4518				-1,695
Tencent Hold	TENUS-US	Long	USD	849	179,22	178,25	149.00	149.00	149,00	126,601	126,601	126,601	0.08	212.25				
Visa Inc. Class	VISA-US	Long	USD	2,972	57,50	37,47	35.89	35.89	156,071	156,071	156,071	156,071	0.05	-89.16				
ASML Holding	ASML-US	Long	USD	3,024	42,65	42,65	36.00	36.00	109,219	109,219	109,219	109,219	0.07	-91.02				
Cisco Systems	CSCO-US	Long	USD	-71,901	-3,000	94,50	94.50	94.50	290,000	290,000	290,000	290,000	0.19	-425.04				
Alphabet Inc.	GOOGL-US	Long	USD	-24,811	621	169.88	169.41	131,29	106,343	81,532	81,532	81,532	0.06	-117.99				
Oracle Corp	ORCL-US	Long	USD	-39,111	4,968	31,43	31.52	31.58	193,504	154,393	154,393	154,393	0.10	-298.08				
Apple Inc.	APPL-US	Long	USD	-87,007	354	979.75	978.89	955.15	428,673	341,666	341,666	341,666	0.23	757.58				
Intel Corp	INTC-US	Long	USD	-81,755	3,592	68.54	68.59	71.75	319,454	257,708	257,708	257,708	0.16	-625.16				
SAP SE	SAP-US	Long	USD	-21,077	1,952	44.65	44.89	51.55	123,098	101,221	101,221	101,221	0.06	-351.56				
BASF SE	BASF-US	Long	USD	-85,944	2,268	163.09	162.68	143.78	413,173	326,229	326,229	326,229	0.23	-567.00				
FactSet	FACTS-US	Long	USD	-34,097	3,775	36.08	36.13	33.78	181,650	127,553	127,553	127,553	0.09	-151.04				
Government Yields	GOV-US	Long	USD	-54,685	2,070	105.70	105.44	104.57	271,328	216,681	216,681	216,681	0.14	351.90				
Corporate Spreads	CORP-US	Long	USD	780	780	102.40	102.14	93.78	73,146	73,146	73,146	73,146	0	0.0414				-8
CDS and Ratings	CDS-US	Long	USD	780	780	102.40	102.14	93.78	73,146	73,146	73,146	73,146	0	0.0414				-8
Summary	SUM-US	Long	USD	3,039	202.02	201.54	202.04	202.04	629,155	629,155	629,155	629,155	0	0.3153				51

LEVERAGE A POWERFUL OMS WITHIN FACTSET

Combine the customizable, efficient workflows of FactSet's multi-asset, multi-currency OMS solution with FactSet's turn-key data integration. Monitor your portfolio's performance and exposures with variance heat maps, tolerances, and event-driven alerts. Leverage FactSet's real-time price, benchmark, and risk content to simplify data management and harness the power of a single trusted source for your information. Boost your portfolio monitoring and decision-making with real-time, intraday updates to performance, attribution, and risk within FactSet's Portfolio Analysis suite.

POWER YOUR COMPLIANCE ENGINE

Monitor compliance in today's evolving regulatory landscape with a sophisticated rules manager powered by FactSet's comprehensive risk and analytics data. Seamlessly integrate third-party and FactSet content and metrics, including duration, sector exposure, and geographic revenue exposure, and support all rule types and mandates including concentration, look-through, compound, and limit checks. Fulfill the requirements of global regulations such as UCITS, the 1940 Act, and MiFID II, with FactSet's open rules design, and easily track the underlying causes of compliance breaches. Save time and boost efficiency with compliance checks and streamlined workflows, permissions, and approval settings tailored to your firm's specific needs.

FACTSET > SEE THE ADVANTAGE

File		Sector Model	Main	Design	Rebalance	Amend Weights	Edit Model	Save	Generate	Validate	Promote	Unchecked Cans	Clear	View	Insert	Forecast	Assign To Use	Pending Approval	Approve	Pending Downgrade	Downgrade	Revert	Reside	View Underlying	Find Column	Refresh	Invoke Pre Trade	Invoke Post Trade	Compliance Check
Order Generation		Selected Fund	Draft Orders	Draft Order Generation	Sector Model	Equity Fund	Fund of Funds	Multi-Asset Fund	Multi-Manager Pension Fund Strategy	Multi-Manager Pension Fund - Phase 1	Multi-Manager Pension Fund - Phase 2	Short-Term Bond Fund	Investment Grade Fund - Model	Global Fixed Income Fund	International Value Fund	Mid-Cap Value Fund	Value Fund	Value Plus Fund	Global Bond Fund	Fixed Income Model									
Mode		Draft Orders	Cash Forecasts	Ticker Breakdown	Sector Breakdown	Geographical Breakdown	Account	Instrument	Quantity	Price	Post Weight	Current	Value	ISIN	Genera	Generate Description	Un												
Status		Added time	Fund	Manager	Side	TICKER	Instrument	Quantity	Price	Post Weight	Current	Value	ISIN	Genera	Generate Description	Un													
Buy		3/10/2018 21:36:11	Strategy 1	R Verlin	Buy	AAPL-US	Apple Inc.	2,214.00	153.34	7.04	USD	339,494.75	US0373331005	Modeling	Sector Model	Incell update 'Ord Qty'~2214	Q												
Buy		3/10/2018 21:36:11	Strategy 1	R Verlin	Buy	VUUS	Visa Inc. Class A	2,874.00	94.81	6.96	USD	272,483.94	US92828C8394	Modeling	Sector Model	Incell update 'Ord Qty'~2874	Q												
Buy		3/10/2018 21:36:11	Strategy 1	R Verlin	Buy	LLY-US	Eli Lilly and Company	2,547.00	77.96	3.88	USD	198,564.12	US5324571083	Modeling	Sector Model	Incell update 'Ord Qty'~2547	Q												
Buy		3/10/2018 21:36:20	Sample Account 8	R Verlin	Buy	OSK-US	GlaxoSmithKline plc Sponsor	2,547.00	43.38	2.84	USD	110,488.85	US37733W1053	Modeling	Sector Model	Incell update 'Ord Qty'~2547	Q												
Buy		3/10/2018 21:36:20	Sample Account 8	R Verlin	Buy	AXP-US	American Express Company	2,358.00	77.12	4.09	USD	181,848.96	US0268161082	Modeling	Sector Model	Incell update 'Ord Qty'~2358	Q												
Buy		3/10/2018 21:36:11	Strategy 1	R Verlin	Buy	JNJ-US	Johnson & Johnson	3,254.00	127.81	7.23	USD	414,917.54	US4781601046	Modeling	Sector Model	Incell update 'Ord Qty'~3254	Q												
Buy		3/10/2018 21:36:11	Strategy 1	R Verlin	Buy	INTC-US	Intel Corporation	2,548.00	36.12	2.37	USD	92,033.76	US4581401001	Modeling	Sector Model	Incell update 'Ord Qty'~2548	Q												
Buy		3/10/2018 21:36:00	Sample Account 8	R Verlin	Buy	VUUS	Visa Inc. Class A	9,000.00	94.81	11.39	USD	853,290.00	US92828C8394	Modeling	Sector Model	Incell update 'Ord Qty'~9000	Q												
Buy		3/10/2018 22:05:20	Strategy 1	R Verlin	Buy	BNPQY-US	BNP Paribas SA Sponsored A	126,678.00	39.47	49.44	USD	4,999,980.66	US06656A2024	Modeling	Sector Model	Incell update 'Ord Val'~4000000	Q												
Buy		3/10/2018 22:05:20	Strategy 1	R Verlin	Buy	JPM-US	JPMorgan Chase & Co.	58,336.00	85.71	47.20	USD	4,999,978.56	US45828H1005	Modeling	Sector Model	Incell update 'Ord Val'~4000000	Q												
Buy		3/10/2018 21:36:11	Sample Account 6	R Verlin	Buy	DIS-US	Walt Disney Company	1,000.00	107.71	1.01	USD	107,710.00	US02688H1080	Modeling	Sector Model	Incell update 'Ord Qty'~1000	Q												
Buy		3/10/2018 21:36:11	Sample Account 6	R Verlin	Buy	MFT-US	Microsoft Corporation	1,287.00	66.77	2.76	USD	86,506.99	US59491R1045	Modeling	Sector Model	Incell update 'Ord Qty'~1287	Q												
Buy		3/10/2018 21:36:11	Sample Account 6	R Verlin	Buy	AAPL-US	Apple Inc.	1,245.00	153.34	4.04	USD	190,909.30	US0373331005	Modeling	Sector Model	Incell update 'Ord Qty'~1245	Q												
Buy		3/10/2018 21:36:11	Sample Account 6	R Verlin	Buy	VUUS	Visa Inc. Class A	1,254.00	94.81	3.20	USD	118,891.74	US92828C8394	Modeling	Sector Model	Incell update 'Ord Qty'~1254	Q												
Buy		3/10/2018 21:36:11	Sample Account 6	R Verlin	Buy	GOOGL-US	Alphabet Inc. Class A	3,658.00	97.61	17.06	USD	3,576,097.38	US02079V0369	Modeling	Sector Model	Incell update 'Ord Qty'~3658	Q												
Buy		3/10/2018 21:36:11	Sample Account 6	R Verlin	Buy	NVS-US	Novartis AG Sponsored ADR	2,547.00	85.64	1.78	USD	217,870.38	US06867V1088	Modeling	Sector Model	Incell update 'Ord Qty'~2547	Q												
Buy		3/10/2018 21:36:11	Sample Account 6	R Verlin	Buy	RHHBY-US	Roche Holding Ltd Sponsor	6,665.00	31.49	1.36	USD	209,890.85	US7711961043	Modeling	Sector Model	Incell update 'Ord Qty'~6665	Q												
Buy		3/10/2018 21:36:11	Strategy 1	R Verlin	Buy	AXP-US	American Express Company	2,458.00	77.12	4.17	USD	189,890.96	US0268161082	Modeling	Sector Model	Incell update 'Ord Qty'~2458	Q												
Buy		3/10/2018 21:36:11	Strategy 1	R Verlin	Buy	BBY-US	Best Buy Co. Inc.	2,547.00	89.85	4.09	USD	228,143.85	US0281870510	Modeling	Sector Model	Incell update 'Ord Qty'~2547	Q												
Sell		3/10/2018 21:36:00	Sample Account 8	R Verlin	Sell	KO-US	Coca-Cola Company	2,258.00	46.03	1.38	USD	105,677.74	US1912181007	Modeling	Sector Model	Incell update 'Ord Qty'~2258	Q												
Sell		3/10/2018 21:36:00	Sample Account 8	R Verlin	Sell	BAYRY-US	Bayer AG Sponsored ADR	1,000.00	132.87	0.36	USD	132,870.00	US0272703028	Modeling	Sector Model	Incell update 'Ord Qty'~1000	Q												
Sell		3/10/2018 21:36:00	Sample Account 8	R Verlin	Sell	JNJ-US	Johnson & Johnson	1,258.00	127.81	1.85	USD	160,407.59	US4781601046	Modeling	Sector Model	Incell update 'Ord Qty'~1258	Q												
Sell		3/10/2018 21:36:00	Sample Account 8	R Verlin	Sell	C-US	Citigroup Inc.	1,254.00	62.27	0.54	USD	78,336.66	US1729874202	Modeling	Sector Model	Incell update 'Ord Qty'~1258	Q												
Sell		3/10/2018 21:36:00	Sample Account 8	R Verlin	Sell	BAC-US	Bank of America Corporation	2,547.00	23.36	0.47	USD	60,432.32	US0605061006	Modeling	Sector Model	Incell update 'Ord Qty'~2547	Q												
Sell		3/10/2018 21:36:20	Sample Account 8	R Verlin	Sell	INTC-US	Intel Corporation	2,145.00	36.12	0.79	USD	77,477.40	US4581401001	Modeling	Sector Model	Incell update 'Ord Qty'~2146	Q												
Sell		3/10/2018 21:36:00	Sample Account 8	R Verlin	Sell	PEP-US	PepsiCo Inc.	500.00	116.06	0.94	USD	58,030.00	US7134481081	Modeling	Sector Model	Incell update 'Ord Qty'~500	Q												
Show		Hide Passes	Selected Orders Only	Override Fail	Parent ID	Rule ID	Status	Action	Instrument	A	Account	Quantity	Rule	Note	Category	Reason													
Order Generation		Trading Desk	Trade Monitor	Compliance Workflow	Compliance	Reports	R477	Failed	Overridable	Alphabet Inc. Class A	SAMPLE ACCOUNT 6	3.688	Max 6% exposure to single issuer:	Percentage of Exposure (17.00%) exceeds rule maximum value (6%) where Field 'Issuer' is (T_ATH_ISR_A_ISRCO) = 'PAPVZ2-E' (Alphabet Inc. Class A)	Client - Internal														
Order Generation		Trading Desk	Trade Monitor	Compliance Workflow	Compliance	Reports	R477	Failed	Overridable	BNP Paribas SA Sponsored ADR	STRATEGY 1	126.678	Max 6% exposure to single issuer:	Percentage of Exposure (48.44%) exceeds rule maximum value (6%) where Field 'Issuer' is (T_ATH_ISR_A_ISRCO) = '93028D-E' (BNP Paribas SA Class A)	Client - Internal														
Order Generation		Trading Desk	Trade Monitor	Compliance Workflow	Compliance	Reports	R477	Failed	Overridable	JPMorgan Chase & Co.	STRATEGY 1	58.336	Max 6% exposure to single issuer:	Percentage of Exposure (47.2%) exceeds rule maximum value (6%) where Field 'Issuer' is (T_ATH_ISR_A_ISRCO) = '93000C-E' (JPMorgan Chase & Co.)	Client - Internal														
Order Generation		Trading Desk	Trade Monitor	Compliance Workflow	Compliance	Reports	R477	Failed	Overridable	Visa Inc. Class A	SAMPLE ACCOUNT 8	9.000	Max 6% exposure to single issuer:	Percentage of Exposure (11.39%) exceeds rule maximum value (6%) where Field 'Issuer' is (T_ATH_ISR_A_ISRCO) = '92828C-E' (Visa Inc. Class A)	Client - Internal														

CUSTOMIZE YOUR WORKFLOW

Tailor your workspace using FactSet's intuitive interface, adaptable screens, and fully permission-based operating model. Configure portfolio views on the fly to better accommodate the unique needs of each user, team, strategy, and asset class, and easily share views between members of the investment team. Automate the blocking, handling, and routing of orders using any combination of parameters with FactSet's logic-driven order management tools. Quickly access critical information in one view that captures consolidated and real-time compliance, as well as order and execution status across your front, middle, and back office.

HARNESS THE POWER OF OPEN ARCHITECTURE

Seamlessly connect FactSet's platform-agnostic OMS to your front, middle, or back office, including your firm's proprietary systems and data warehouses. Leverage FactSet's open architecture model to integrate your own third-party resources through a host of dedicated, published APIs for orders, executions, compliance, and prices.

Added time	Portfolio	Ticks	Instrument	Mod %	Ord Qt	Filled Qt	Leaves	Price	Trader
07/30/2018 20:54:33	US Equity Long 0	Buy	UBSG-CH	UBSG Group AG	60.113	16,028	45,085	16.10	Unassigned
07/30/2018 20:54:33	US Equity Long 0	Buy	JPM-US	JPMorgan Chase & Co.	11,292	2,823	8,469	86.71	Unassigned
07/30/2018 20:54:33	US Equity Long 0	Buy	SAH-US	Sanofi-Santelabo SA Sponsored ADR	146,755	87,483	59,302	6.64	Unassigned
07/30/2018 20:54:33	US Equity Long 0	Buy	ING-US	ING Groep NV Sponsored ADR	63,294	31,976	31,318	18.16	Unassigned
06/12/2018 17:52:55	Value Fund	Buy	AHC-USA	A.H. Belo Corporation Class A	759,473	759,473	0	5.15	Unassigned
06/12/2018 17:52:55	Value Fund	Buy	AMC-USA	AMC Entertainment Holdings Inc. Class	278,383	278,383	0	14.05	Unassigned
06/12/2018 17:52:55	Value Fund	Buy	AHJ-USA	A.V. Homes Inc.	210,851	210,851	0	18.55	Unassigned
06/12/2018 17:52:55	Value Plus Fund	Buy	GOLF-USA	Acushnet Holdings Corp.	85,381	85,381	0	23.25	Unassigned
06/12/2018 17:52:55	Value Plus Fund	Buy	AEQ-USA	American Eagle Outfitters Inc.	65,320	65,320	0	20.36	Unassigned

BENEFIT FROM INDUSTRY-LEADING SUPPORT

Experience consistent support and service through FactSet's exceptional client service group. Our dedicated OMS team is available around the clock to make your transition smooth and successful, assist in developing custom reports and displays, and provide actionable advice throughout our partnership.