



We are now Refinitiv, formerly the Financial and Risk business of Thomson Reuters. We've set a bold course for the future – both ours and yours – and are introducing our new brand to the world.

As our brand migration will be gradual, you will see traces of our past through documentation, videos, and digital platforms.

Thank you for joining us on our brand journey.



REFINITIVTM

The Refinitiv logo, which is a blue L-shaped graphic with a diagonal line extending from the bottom-right corner of the vertical bar.



ALL THE TOOLS YOU NEED TO SIMPLIFY OPERATIONS AND REDUCE COSTS

THOMSON REUTERS BETA – BROKERAGE PROCESSING SOLUTIONS



Thomson Reuters BETA is a complete suite of products that enables you to manage the daily tasks of your brokerage business. It offers all the tools you need to manage your daily operations, plus forward-thinking features to keep you positioned for the future. No other brokerage processing system provider is as comprehensive or reliable.

YOUR COMPREHENSIVE TRANSACTION PROCESSING SYSTEM

- Built on years of industry knowledge and hands-on experience
- Designed to integrate seamlessly with your current operations
- A single data source drives all of our products guaranteeing the integrity of your data
- A fully integrated front, middle and back office streamlines operations for take-control efficiency
- A flexible, parameter-driven system allows for customization to meet unique business needs
- Application and service reliability and scalability
- Superior service teams dedicated to ensuring your systems work

COMPLETE BROKERAGE PROCESSING SOLUTION

Our fully-integrated Retail suite connects your entire firm, providing all of the workflow tools you need, in a stable and dependable platform. With full customization capabilities, we provide a complete retail brokerage processing solution.

We offer a product line that extends from back office applications for streamlined operations, to front office solutions that unlock new potential for customer management and competitive advantage. A single data source ensures the highest level of data integrity and compatibility.

Thomson Reuters BETA offers efficient and reliable transaction processing, broker productivity tools and secure transmissions of customer and firm data. You get all this with a single data source, making it the ideal solution for managing your business.

We also address the specialized requirements of the capital markets business with custom applications which are integrated with our core brokerage processing system. The result is a solution that caters to brokerage firms specializing in a variety of product offerings including institutional equities, fixed income, options, domestic, global, or hybrid.

We offer complete capital markets trade processing and clearance from an autocage system to a mortgage backed processing engine.

SOLUTIONS THAT MAKE IT EASIER TO MANAGE YOUR BUSINESS

We offer intelligent and flexible solutions that address the unique needs of your operations and your customers. BETAHost is our complete back office processing system which has the horsepower to satisfy the demands you have today, as well as the ability to adapt to tomorrow's challenges. BETALink is our powerful, real-time information system for providing everything an advisor needs to do their job effectively.

BETAHost

BETAHost is our core back office processing solution for Thomson Reuters Wealth Management. Its straight-through processing capability is designed specifically for today's global securities industry. BETAHost provides a flexible, open-ended design environment that allows you to expand and evolve your strategic business initiatives without re-engineering your business. The BETA Platform is equipped with workflow capabilities, allowing you to manage and address exceptions, promoting operational efficiency and management oversight within your business.

Our solution consistently delivers one of the industry's most stable and reliable brokerage processing systems – one that offers automated, end-to-end, event-driven processing for a wide spectrum of financial transactions.

BETAHost offers a comprehensive online user transaction suite to conduct a full range of brokerage activities. Comprised of hundreds of functions that interact with both internal and external business applications, BETAHost's capabilities include everything from ACATS to Year-End Reporting.

BETALink

BETALink provides financial advisors with an intuitive and comprehensive front office workstation that integrates real-time market and customer account information into a customizable and intelligent portfolio management resource. It offers order entry capability, syndicate and voluntary reorganization participation tools, NSCC networked annuity contract activity and position. Integrated with Thomson ONE Total Wealth in a Windows based format, BETALink enables you to work faster, easier, and more efficiently.

BETALink Enhanced Order Entry is a premium service; this additional functionality enables advisors to enter Basket, Block and Complex Option Order Entry.



SIMPLE TOOLS FOR MANAGING YOUR DATA

BETA Access, BLServer, ODS and Host Event Server (HES) create a comprehensive system that lets you dictate how often you receive data updates, who has access to your data, where you store data, and how your data is organized. And does it simply and efficiently.

BETA Access

BETA Access provides pipe delimited files that can be used by any ETL application on any platform. It replaces traditional file downloads with periodic data transfers and synchronization. BETA Access allows you to receive downloads and data changes without causing disruption, and enables you to manage the flow of data to meet your development timelines. Data is downloaded directly from the BETAHost mainframe.

BLServer

Provides interactive API access to core BETAHost data, including account, security, and position information, as well as order inquiry and update capabilities. BLServer enables you to build your own infrastructure using data that is accurate and reliable.

Host Event Server

Host Event Server (HES) provides client firms with the ability to receive transaction messages or pipe delimited flat files from BETA Host at their local IBM® WebSphere® MQ server and/or file server. HES is provided via a subscription model, where each HES data source is made available to client firms.

HES is a flexible and powerful solution utilized for real-time, near-real-time (NRT), and batch notifications for BETA Host processing events – such as trade executions for equity, options, mutual funds, and fixed income products; intraday-posted cash entries, intraday account security transfers, Security Master file updates, and process/job completions – triggering the message queuing and delivery process.

ODS

ODS Product delivers replicated data sources in a Near Real Time (NRT) environment. Technology captures all Database updates using various methods of capture, ensuring delivery of data to the target database through controlled and monitored servers and processes. Data is transformed from Mainframe format to a format consumable by distributed systems. The Target database can be a Microsoft SQL database server or Oracle DB.



Further enhance customer management and increase your competitive advantage with our specialized solutions and services

OUTPERFORM WITH OUR PREMIER SERVICES

Report Viewing

Provides the ability to view BETAHost reports through a standard web browser. Any report can be viewed from a personal workstation.

Report Archiving

Offers a state-of-the-art solution for managing the archiving, retrieval, presentation and distribution of BETAHost reports through a single application.

Mortgage

Through a strategic partnership, Thomson Reuters BETA Systems is able to provide a fully integrated mortgage backed processing solution. The combined offering, Mortgage, fully automates the allocation process required for security processing. Included in this solution is connectivity to EPN for delivering and receiving pool deliveries, and a direct interface to FICC for mortgage netting.

Non-Purpose Loan Processing

Premium core brokerage platform process that allows firms to consolidate account level assets (including cash assets) for the purposes of providing entity (multiple account) level non-purpose loans. New balances specific to non-purpose lending are now available and integrated with existing cash management, statements modules on the back-end and intelligently displayed on the broker desktop.

Section 529 Plan Omnibus Processing

Thomson Reuters Section 529 Plan Omnibus processing enables your advisors to hold their clients Section 529 Plans within a Brokerage account as part of assets under management. Offers systematic processing of daily transactions, such as trades, dividends, transfers and money movement, through their client's Brokerage accounts eliminating the manual check and app process current supports.

DTCC AIP Trading & Reconciliation Platform

Allows firms to manage the entire lifecycle of a trade from initial and subsequent order/subscription submission to confirmation and settlement processing.

Straight-through processing increases the speed of settlement and reduces the risks currently associated with the manual "check-and-app" process. Integration with core back office systems such as Customer and General Ledgers, Tax Reporting, Stock Record, Commissions, Position Reconciliation and Security Master reduces manual processing time.

Tax Lot Accounting

Our tax lot accounting functionality is integrated with the core brokerage platform, and tracks cost basis for every account and every activity. It supports eight standing lot relief methods as well as the ability to select specific tax lots for trades, journals, and transfers. Our tax lot functionality features a bifurcated average cost for RIC security types and securities that participate in a dividend reinvest program. It offers users the ability to identify and track gift and inheritance valuations, wash sale adjustments, and other adjusted cost calculations. Users can also set-up automated cost basis updates for corporate action events.

IRS reporting for both retail investment and retirement accounts is processed through the platform. This includes state and federal income withholding and FATCA withholding.

Business Process Services

Easily scale your transaction processing capabilities by outsourcing some of your non-core business processes to a trusted BETA partner. Redirect talent and resources to opportunities that will best serve your client's needs.

Enhanced Order Entry

Thomson Reuters (BETA Systems) offers enhanced order entry capabilities which include the ability to enter Basket, Block and Complex Option orders.

- **Basket**
Basket Order Entry lets brokers easily manage multiple orders for a single account or security covering both equities and mutual funds.
- **Block**
Block Trading allows you to manage the entry of an equity block order, including both the street order and the customer allocations. Each allocation will receive the same price at the point of execution.
- **Complex Options**
Complex Options functionality supports two-legged option and equity/option strategies. The Security Pairings dialog allows the user to search for order pairs based on eight strategies including: Vertical, Horizontal, and Diagonal spreads, Straddles, Strangles, Buy/Writes, Collars, and Married Puts.

Rules Engine

To support our clients in easing the administrative burden of managing rules, Thomson Reuters (BETA Systems) has developed a Rules Engine. Our Rules Engine provides the capability to author and approve rules to be interrogated during order entry processing covering Equity, Option, Fixed Income and Mutual Fund orders and trades. It provides the ability to create and customize rules tailored to a firm's individual business needs, including the capability to create firm-specific error messages for display at point of order entry verification.

Review And Release

To support our customers in meeting the ever expanding regulatory requirements as efficiently and automated as possible, Thomson Reuters (BETA Systems) now offers Review & Release capabilities for orders that are in a "pending for review" status. The orders are dynamically displayed providing the approver all the functionality they need to quickly review the order, add their comments, and then approve or reject the order.

Unit

Offers complete end-to-end UIT processing directly integrated with the back office. UniT consists of a Broker View, which displays offerings, portfolios, orders and rollovers, and standard trust information such as dates, pricing, and CUSIPs; and a Trader View, which includes this functionality plus rollover administration, reports, and operations features.

Repo

A front to back office integrated solution that facilitates management of financing transactions. With Repo, your clients can enter into Repo agreements, including term, open, DVP, HIC, single, or multi-collateral. Users can manage and maintain contract characteristics, and a fully-integrated Books and Records system.

BETA Online

BETA Online is a turnkey hosted solution making Market Moving information & Trading readily available across investment sites: bridging the gap between buy vs. build. BETA Online specializes in delivering off the shelf, hosted, white labeled components and portals solutions for clients to offer their investors self-directed web services to manage their accounts and drive trading volume.

Model Management, Rebalancing & Trading

Model Management, Rebalancing and Trading enables your advisor's to monitor drift and implement rebalancing across an individual or multiple accounts in a completely integrated workflow. Reporting tools allows advisors to document and share proposed trades and target allocations with clients enhancing communication and transparency. Straight through processing of proposals to trade execution allows advisors to easily implement agreed investment strategies.

PropGen

Thomson Reuters PropGen enables your advisors to create an investment roadmap for their clients in less time. PropGen provides access to Thomson Reuters comprehensive database of mutual funds, exchange traded funds, closed end funds, variable annuities and stocks, along with a robust separate account database provided by Prima Capital®. Using the Product Catalog, advisors can quickly filter, compare and select suitable securities and investment products for their clients. And once they've identified the right investments, in just minutes they can create a complete, multi-asset proposal that their clients will find easy to follow and understand.

ABOUT THOMSON REUTERS FINANCIAL AND RISK

Thomson Reuters financial & risk solutions deliver critical news, information and analytics to the global financial community – enabling transactions and connecting communities of trading, investing, financial and corporate professionals.

ABOUT THOMSON REUTERS

Thomson Reuters provides professionals with the intelligence, technology and human expertise they need to find trusted answers.

We enable professionals in the financial and risk, legal, tax and accounting, intellectual property and science and media markets to make the decisions that matter most, all powered by the world's most trusted news organization.

Thomson Reuters shares are listed on the Toronto and New York Stock Exchanges (symbol: TRI).

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