

Scivantage ENS

Centralized Event Notification System



Scivantage Event Notification System (ENS) provides real-time event dashboards which enable users to receive and respond to critical event-generated and ad-hoc alerts in a single, actionable and auditable web based Inbox—minimizing time to resolution and driving productivity.

- **Aggregates Events from All Systems**
- **Actionable and Workflow Enabled Events/Tasks**
- **Minimizes Alert Resolution Time**
- **Reduces Calls to Operations**
- **Enhances Productivity**

Business Problems Solved by Scivantage ENS:

- ✓ Existing back and front-office systems produce a myriad of events and alerts in a flat, non-actionable format which are difficult to manage and have no support for tracking or resolution
- ✓ Sales and operational staff are forced to navigate multiple applications with differing formats to access alerts
- ✓ Advisors are missing valuable sales opportunities which are currently generated, but not effectively distributed, by your existing systems

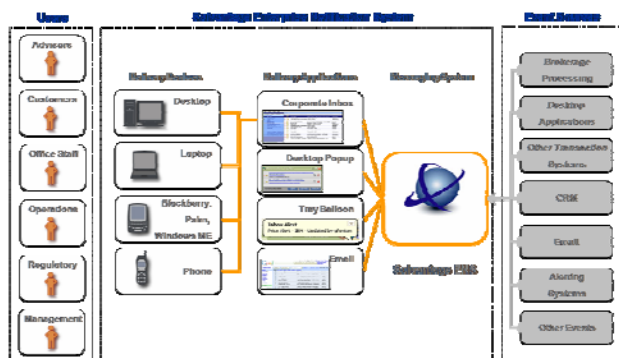
Scivantage ENS solves these problems through centralized, guaranteed delivery of actionable alerts and tasks, rich decision support features and flexible workflow automation—all in a system with multiple levels of management and monitoring to ensure your firm's business critical events are being resolved.

Key Features of Scivantage ENS

- **Centralized Event Dashboards**
All events, alerts and tasks sent to a single Inbox
- **Dynamic Workflow Module**
Drive rule-based and event-based business processes
- **Advanced Collaboration Module**
Share team-based Notes, Documents and set Reminders
- **Standardized Actionable Format**
Respond immediately from within the message body
- **Multi-Device Delivery**
Web Inbox, Desktop PopUp, Email, PDA, Phone
- **Opt-In Publish/Subscribe**
Empower users to receive only requested information
- **Multi-Source Interface**
Interoperates with any/all systems
- **Complete Audit Trail**
Real-time audit trail for reporting
- **Zero-Client (browser) Deployment**
Embed within enterprise portal/dashboard or standalone

Event Dashboard Solutions

- **Advisor**
- **Investor**
- **Operations**



Deliver a Central View of all alerts & notifications

Scivantage ENS provides a single “inbox” view of alerts and notifications from ANY system, in a standardized format. This enables a true firm-wide view of all critical events, and powerful measurement and dashboard capabilities for end users and management.



| Notification Type | Subject | Assigned To | Updated By* | Last Updated |
|-------------------------------|--|------------------------|-------------------|-------------------|
| Message | Dividend Change | operator | operator | December 11, 2006 |
| Assignment Training | Training | operator | operator | Thu, January 19 |
| Message | New | operator | operator | Thu, January 19 |
| Message | Message | operator | operator | Thu, January 19 |
| New Account Form | John Smith | operator | operator | Thu, January 19 |
| Alert Call | FINANCIAL SVCS 8 (100) | operator | operator | Thu, January 19 |
| New Account Form | John Smith | Branch Manager | operator | December 21, 2006 |
| New Account Form | Teddy Rosewall | Branch Manager | operator | August 9, 2006 |
| Allocation Out of Balance | Security 981923 (IRA) | admin | operator | March 20, 2006 |
| Equity Trade | Trade Execution - 500 IBM | admin | operator | December 13, 2006 |
| Margin Call | Financial Trade - HMLD 5% | Portfolio Manager | operator | October 6, 2006 |
| Alert Call | John Smith | FINANCIAL SVCS 8 (100) | Portfolio Manager | October 11, 2006 |
| Advisor Newsletter | Client Newsletter | operator | operator | December 13, 2006 |
| Margin Call | Portfolio Training Update | Relationship Manager | operator | September 2, 2006 |
| Work in Progress (WIP) | Account Record Update - Greg Allen | operator | administrator | July 7, 2006 |
| New Account Form | John Smith | operator | administrator | Wed, January 24 |
| New Account Form | Andrew Carnegie | operator | administrator | December 13, 2006 |
| New Account Form | John Morgan | operator | administrator | December 13, 2006 |
| Order Details | Completed Order - ID | operator | administrator | November 9, 2006 |
| Not Appointed with Career | Career - JACOBSON NATIONAL LIFE INS CO | operator | administrator | November 8, 2006 |
| Variable Annuity Submitter | 2111-2112 | operator | administrator | November 8, 2006 |
| Security Over - Concentration | 2111-2112 | operator | administrator | November 8, 2006 |
| IR Share Hold/Paid | 2111-2112 | operator | administrator | February 22, 2006 |
| Variable Annuity Submitter | 2111-2112 | operator | administrator | September 8, 2006 |

Inbox

Achieve Guaranteed Delivery

Scivantage ENS provides three tiers of functionality to ensure guaranteed delivery of your critical alerts and tasks.

- Transactional message switch technology ensures messages are delivered once and only once.
- Always-on alerting, email and phone forwarding enables user notification even when they are not logged into the system.
- Aging and escalation enforces management visibility for alerts and tasks which are not resolved in a timely manner.

Make ANY message Actionable

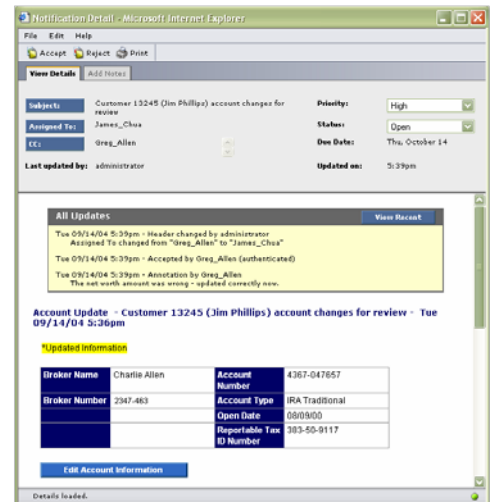
Simple messages and events from other systems are converted to Scivantage Notifications with embedded actions and tools to enforce resolution. Scivantage ENS technology enables the integration of content, applications and links in the Notification, providing “on-site” decision support and resolution. With out-of-the box adapters and APIs, the ENS easily integrates into any existing system.

Enable Workflow

The ENS Advisor Workflow Module enables the development of prescribed resolution paths with aging and escalation rules, enabling streamlined workflows that prevent critical messages and alerts from going unresolved.

Track, Monitor and Audit

The ENS Management Module provides real-time reporting on the status of all work items across the enterprise. Additionally, the Management Module provides support for select third party reporting tools.



Notification Detail - Microsoft Internet Explorer

Accept Reject Print

View Details Add Notes

Subject: Customer 13245 (Jim Phillips) account changes for review
Assigned To: James_Chua
CC: Greg_Allen
Priority: High
Status: Open
Due Date: Thu, October 14
Last updated by: administrator
Updated on: 5:39pm

All Updates View Recent

Tue 09/14/04 5:39pm - Header changed by administrator
Assigned To changed from "Greg_Allen" to "James_Chua"
Tue 09/14/04 5:39pm - Accepted by Greg_Allen (authenticated)
Tue 09/14/04 5:39pm - Annotation by Greg_Allen
The net worth amount was wrong - updated correctly now.

Account Update - Customer 13245 (Jim Phillips) account changes for review - Tue 09/14/04 5:36pm

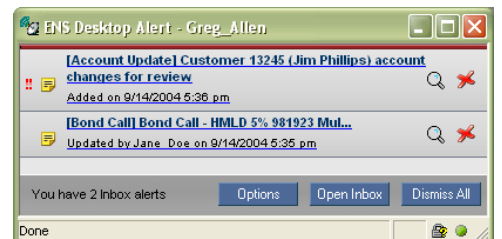
Updated Information

| | | | |
|---------------|---------------|--------------------------|-----------------|
| Broker Name | Charlie Allen | Account Number | 4367-047657 |
| Broker Number | 2347-483 | Account Type | IRA Traditional |
| | | Open Date | 09/09/00 |
| | | Reportable Tax ID Number | 393-50-9117 |

Edit Account Information

Details loaded.

Notification Template



ENS Desktop Alert - Greg_Allen

[Account Update] Customer 13245 (Jim Phillips) account changes for review
Added on 9/14/2004 5:36 pm

[Bond Call] Bond Call - HMLD 5% 981923 Mul...
Updated by Jane_Doe on 9/14/2004 5:35 pm

You have 2 Inbox alerts Options Open Inbox Dismiss All

Done

ENS Popup Alert Window