

# Whitepaper

## SharePoint 2007 And Financial Services

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**There are mainly three types of financial institutes available:**

### Regulatory Agencies:

These agencies monitor and regulate the functioning of the intermediaries and non intermediaries. Some of the examples of such regulatory agencies are RBI, UAE Central Bank, etc. The specific aims of these regulatory institutes are:

- To minimize financial loss of depositors in banks or policy holders of insurance companies
- To enforce applicable laws
- To prosecute cases of market misconduct, such as [insider trading](#)
- To license providers of financial services
- To protect clients, and investigate complaints
- To maintain confidence in the financial system

### Intermediaries:

These are the institutes that accept deposits from the savers and channelize the same as lending/investment to the users. Types of such agencies are:

- 2.1 Banks
- 2.2 Investment Companies
- 2.3 Non-Banking Finance Companies
- 2.4 Insurance Companies
- 2.5 Mutual Funds, Stock Brokerages, Credit Card Companies, Pension Funds, etc.

### Non-Intermediaries:

These are the development banks that do not accept from deposits from ordinary savers. Examples of such agencies are World Bank, IMF, etc.

The above description is shown graphically in the figure below:

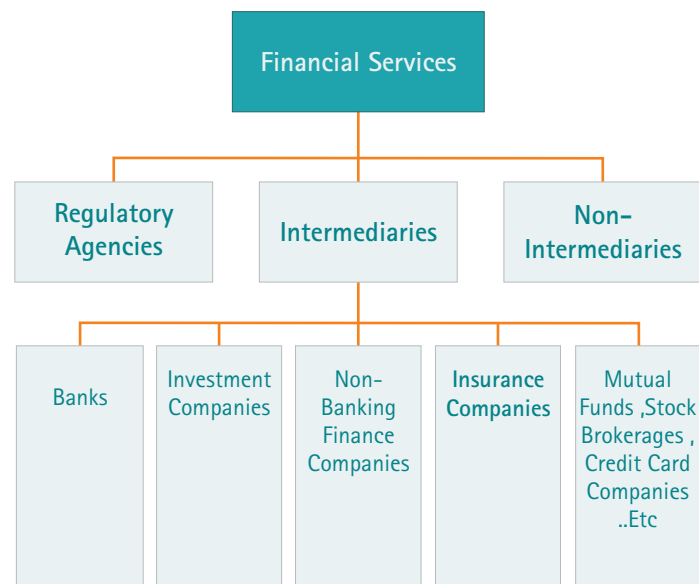


Fig: Types of Financial Institutes

## Overview

### About Construction Domain

Some of the common facilities provided by most of these financial institutes are:

1. Phone Banking
2. Online Banking
3. Online Applications
4. Applications for internal users
5. Online Share Trading

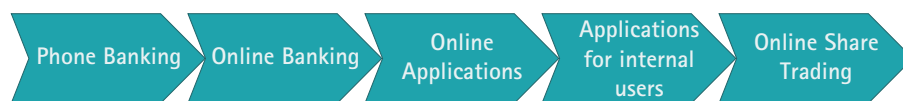


Fig: Common Services by most of the Financial Institutes

Some of the general issues in Financial Services are:

- Easy ,Fast and Secure Information storage and retrieval
- Tracking/Monitoring all branches deliverables
- Automating Internal projects
- Giving one Integrated Solution to all users(end users or internal) rather than scattered solutions
- Sharing information/best practices among various Branches

## Introduction to SharePoint

SharePoint is an integrated suite of server capabilities that can help improve organizational effectiveness by providing comprehensive content management and enterprise search, accelerating shared business processes, and facilitating information-sharing across boundaries for better business insight.

The points below give an overview of SharePoint as one integrated solution:

- Manage Content and processes
- Improve Business insight
- Simplify Internal and External Collaboration
- Integrate various solutions to One Solution
- Project Management
- Issue Management

The above points can be graphically put in the figure as shown below:

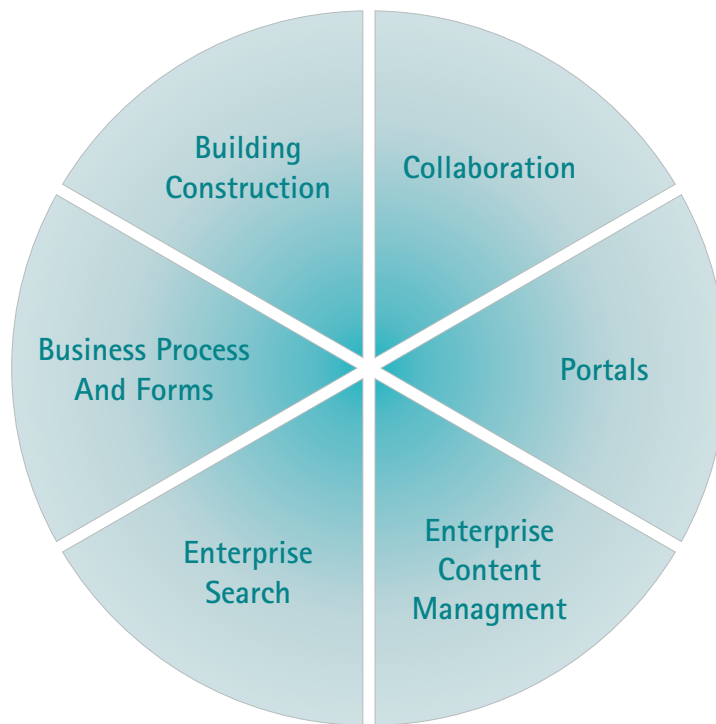


Fig: SharePoint overview as one integrated solution.

## SharePoint for Finance Industry

SharePoint includes many features which can help the Finance Industry. These are explained below:

### SharePoint for Regulatory Agencies

- Tracking/Monitoring various financial institutes in one integrated solution
- Maintaining secure access to all the data
- Providing graphical view to all tracking metrics
- Can provide one single solution to fetch data from all financial institutes
- In Dept Search mechanism to reach out most relevant data
- Integrated Issue Management

### SharePoint for Intermediaries

- Automating Customer Care processes as in those case data retrieval is required to be fast and relevant
- Provides Integrated System to track and monitor various branches with project metrics to easily track the root cause of any fallout in any metric with graphical view
- Documents Management and search mechanism
- Automating the paper work with workflows like approvals, reimbursement process , task/schedules
- Project Management to take care of various needs within the project/team scope
- Integrated solution to share knowledge/best practices among various LOB's within the organization
- Integrated Issue Management

### SharePoint for Non-Intermediaries

- Integrated portfolio Management
- Managed and secured Data storage and retrieval
- Issue management framework
- Integrated solution to all internal needs
- Tracking/Monitoring mechanism for all financial Data with graphical view

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