



## Compliance Master

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An automated tool used to run complex rules across large numbers of funds to produce meaningful, detailed compliance reports.

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A fully hosted, managed solution that provides funds and administrators with powerful post-trade compliance reporting capabilities

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A client-facing solution that enables firms to perform pre-trade compliance through their OMS

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***Regulations have made life more difficult for managers of alternative funds (hedge funds and private equity funds included), and the pace of regulatory activity is not slowing down. Recent CEB research shows that close to 50% of managers expect to increase spending on compliance in the next year.***

***Firms are looking at their service providers, especially custodians and administrators, to help lighten the burden of reporting to a growing line-up of regulators. Because administrators are already holding the bulk of operational, tax, and accounting data, it is an obvious area where they can add value.***

~ Gert Raeves, Executive Advisor, CEB

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Financial institutions are under greater regulatory pressure than ever before to provide all manner of disclosure and transparency reporting. Regulations such as Basel III, AIFMD and Dodd-Frank pose continuous challenges in compliance, operations and technology. Similar requirements now form part of the due diligence process of potential investors. Asset Managers are now looking to outsource post trade regulatory monitoring and reporting to enable them to focus on generating alpha rather than comprehensive tasks.

Compliance Master is a rules-based compliance reporting solution for fund administrators, custodians and asset managers, allowing firms to define rules, run compliance reviews and produce in depth client targeted reports. The offering enables firms to build and maintain extensive compliance rule libraries containing both individual and aggregated position restrictions which are fully customizable to their needs. Compliance and record-keeping can be performed at arm's length from the underlying fund, and easy to use tools make the creation and maintenance of rules easy. Firms can also leverage predefined libraries – including compliance for UCITS funds – easily integrated with Advent Geneva and other portfolio management systems.

Broadridge's Compliance Master enables service providers to offer comprehensive regulatory and investment mandate oversight and quickly add a compliance offering to their service catalogue. Trades are brought in throughout the day, or end-of-day, to meet various reporting needs. Reports and mobile dashboards can be created to provide intra-day or end-of-day visibility into potential compliance violations. This provides a differentiated service to clients, and at the same time, minimizes regulatory and operational risk within their business. Compliance Master is a fully hosted solution that—when used with our Order Management System—provides funds with powerful pre-trade capabilities.

### Reporting Functionality

- Rules and reports can be customized for each client firm, and even for each fund



**Broadridge®**

- Report Templates
  - Standard report templates include Current Breaches, Overridden Breaches, Results Per Fund, Results Per Rule and a Full Audit report
  - Custom build your own reports using our flexible design tools
- Report Distribution
  - Reporting capabilities through advanced graphic dashboards and mobile access
  - Export reports to multiple formats including CSV and PDF
  - Schedule automated report generation and email to a defined list of recipients
- Result Archiving
  - Full archiving of results into a centralized data warehouse made available for audit and retention needs
- Audit Trails
  - Additional transparency and governance through available audit trails

### Rule Management

- Predefined Rule Packs
  - Standard sets of rules available for fast configuration (e.g. UCITS)
  - Receive notification when an update to the rule packs becomes available
- Custom Rule Building
  - Enables compliance to a fund's investment policy statement (IPS) or private placement memorandum (PPM)
  - Comprehensive compliance rule building toolkit
  - Create client specific custom fields to be referenced within rules
- Market Data
  - Integrates with third party data providers to allow the referencing of market data fields within compliance rules

### Rule Organization

- Allows rules to be grouped and activated on a per fund basis
- Quick enabling / disabling of a single or group of rules

### Exception Management

- Multi-Source Position Data
  - Compile position data from multiple sources into a single data warehouse allowing compliance reviews to run across several data sets at once
  - Highlights potential data quality issues on import

- Multi-Period Position Data
  - Ability to run compliance reviews on both current and historic positions
  - Simultaneously supports both official Accounting Close Period NAV and End of Day NAV
  - Ability to add comments to breaches and perform manual overrides
  - Schedule automated email notifications of compliance breaches
  - Define entitlement restrictions per fund, user or user group

### Result Processing

- Ability to add comments to breaches and perform manual overrides
- Define entitlement restrictions per fund, user or user group

### Automation

- Schedule automated compliance reviews for multiple funds
- Schedule automated email notifications of compliance breaches

### Deployment options

- Fully hosted solution through world-class Broadridge hosting services

### Integration

- Integrates with Advent Geneva and other portfolio management systems with potential to integrate with other external data sources
- Can integrate with third party rule libraries
- Uses Broadridge data warehouse, analysis and reporting toolset to provide comprehensive, timely and accurate multi format compliance reporting
- Seamlessly integrates with multiple sources of reference data to easily manage security terms and conditions referenced within compliance rules

#### Asset class coverage

Securities:	Bonds	TRS/CFDs
Equities	MBS/ABS	Interest Rate Swaps
Options	Repos	Variance Swaps
Futures	Convertible Bonds	Swaps
FX	Bond Sovereign	OTC Options
Forwards	Derivatives:	And More....
Commodities	CDS/CDX/LCDS	

#### Integrated partners

Bloomberg	Numerix	FT Labs
Thomson Reuters	Markit	RiskMetrics
Interactive Data	Monis	And More...

#### Global support and service model

Our global data centers and offices allow us to support clients in North America, EMEA and Asia with 24/7 support.

We employ highly experienced data professionals positioned globally within their respective markets and expertise.