

Redefine

Compliance Monitoring at Your Firm

InvestEdge empowers wealth management firms to establish and demonstrate a fiduciary process through its proven oversight tools.

- With a **firm-wide** approach to compliance monitoring, InvestEdge's solution offers unprecedented flexibility in managing and minimizing risk from the front office to the back office
- InvestEdge's **highly configurable**, rules-based compliance engine reduces the cost and time of implementation and allows advisors to quickly and easily address new or changing compliance challenges
- InvestEdge's **workflow and documentation** capabilities enable firms to create a history of each client relationships and verify that investment decisions align with clients' best interests

INVESTEDGE



PROACTIVE SOLUTIONS

- Achieve industry-leading levels of control for portfolio monitoring with a multifaceted, exception-based compliance engine
- Go beyond simply identifying and reporting on exceptions, by tracking and documenting open exceptions and creating management reports
- Handle regulatory audits including stringent Reg. 9 account reviews with confidence and mitigate potential expense from hefty fines and legal costs



INTEGRATED SOLUTIONS

- Reduce operating costs around compliance by moving work from the front office to a more cost-effective back and middle office
- Document all client interactions and define and refine compliance protocols at the firm level or for individual accounts
- Control the cadence of reviews with synchronous and asynchronous workflows based on the risk profile of individual accounts



STREAMLINED SOLUTIONS

- View alerts through a customizable dashboard for improved accuracy, faster response time and increased productivity
- Align with client expectations, firm policies and government regulations by monitoring accounts on a daily basis without disrupting advisors
- Create review exception protocols by account, manager or for all accounts and prioritize exceptions based on severity and due date

InvestEdge's Compliance Monitoring: 2017 By the Numbers

Over \$1 trillion in client AUM	\$0 in regulatory fines & legal expenses*	Approx 500,000 reviews
Assets in 174 different asset classes monitored	6,000+ configured rules	5.3M flags triggered

* Note: As of April 2018 there are no known customer issues relating to the regulatory requirements for their review process.

Learn more about InvestEdge's entire suite of solutions at www.investedge.com.

INVESTEDGE