



**Tina Madel, CFA, Vice President of Solutions**

There is a general consensus among modern-day financial advisors regarding the need to automate and integrate the workflows in their systems. In most cases, financial institutions use different applications or software stacks for individual functions, and the ability to apply a single risk management

standard across the whole client base for various business segments and programs strikes as a challenge. Having found resounding success in its strategy, a company called InvestEdge resolves this issue of monitoring, documenting and overseeing fee-based and managed accounts programs through a simplified web-based software platform. “Since the inception in 2000, we have always focused on continually improving the two facets of our value proposition to financial institutions—focus on advisor productivity and business line optimization through scale,” explains Tina Madel, CFA, InvestEdge’s Vice President of Solutions.

From its initial days of hosting SaaS and private-label services, to building sophisticated APIs that support the unique integration of systems as per the customer’s need, InvestEdge has evolved by leaps and bounds. One of the leading wealth management and innovative advisor solutions providers in the industry, the company offers an integrated data solution, along with data aggregation services that aims to deliver high quality data essential for a fiduciary oversight solution.

InvestEdge’s compliance solution statistics for 2017:

- 106 wealth management firms
- Over \$1T AUM
- Nearly 500,000 reviews
- 5.3 million alerts
- 6058 configured rules
- \$0 in regulatory fines and legal expenses

InvestEdge’s solutions provide a visually interactive user experience, with clear, user-friendly information for analysis and decision making. They ensure cost minimization through automation and assignment of exceptions to specific resources.

“*We are evolving our technology roadmap to support a common framework for content delivery, user interaction, and third-party integrations*”

Whether it’s in supporting banks to address audit inconsistencies by implementing the fiduciary review solution, or helping large financial service providers to offer a superior compliance solution, InvestEdge delivers situation-based solutions. “We are evolving our compliance solution to support the ever-increasing regulatory demands and price pressure put onto advisory firms by delivering a middle office model for compliance,” adds Ms. Madel.

InvestEdge is agnostic to the data sources, supporting both standard and custom sources of data. The information collected, including the client’s current holdings, transactions, and investment objectives, is integrated into a single platform. InvestEdge’s customers are able to uniquely define the asset classifications to mirror their investment philosophy.

Firms can leverage the comprehensive InvestEdge compliance solution to adapt to a standard automated process for compliance oversight across various client segments to both minimize risk and reduce costs. It works as a highly configurable, rules-based engine to support daily monitoring of the policy, asset, advisor, branch, and the company. Fully adaptive implementation of the solution with complete transparency escalates its performance to the stringent rules of a fiduciary.

InvestEdge’s 17 years of experience and accrued ideology to be proactive alongside an easy on-boarding process gives them the needed agility to stay ahead with the pace of technological advancement. Apart from portfolio management with compliance monitoring, the company looks forward to expanding its platform offering into RIA, IBD, and BD market segments to help them implement a fiduciary oversight solution. InvestEdge’s product roadmap aligns with where their clients and the market is headed, some of these enhancements include Project WealthSnap, enhanced UMA, Compliance middle-office-management, and enhanced middle-office rebalancing trading workflows. “We believe integrating compliance as part of an overall wealth platform will enable firms to use the exception process as a driver for daily portfolio management tasks, providing more efficiency within the firm,” explains Ms. Madel.