

# 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

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## 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: 2018 By the Numbers

Over <b>\$1 trillion</b> in client AUM	<b>\$0</b> in regulatory fines & legal expenses*	Approx <b>350,000</b> reviews
Assets in <b>175</b> different asset classes monitored	<b>2,000+</b> configured rules (watches)	<b>8.9M</b> flags triggered

\* Note: At this time there are no known customer issues relating to the regulatory requirements for the review process.

Learn more about InvestEdge's entire suite of solutions at [www.investedge.com](http://www.investedge.com).

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