

# Linedata Compliance Solution

## Post trade compliance for Custodians, TPAs and Investment Managers



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“With Linedata Compliance, we have confidence in the controls we apply to our clients’ regulatory and statutory constraints. All of our funds are automatically monitored with a full audit trail. Passive breaches are managed using structured workflows reflecting each client’s unique processes, ensuring they are able to satisfy their mandates. This way, using daily post-trade compliance, we are proactive in managing our breaches upfront as well as against breaches that would have a material impact.”

**Jean-François Fortemps,**  
Managing Director  
MUGC Lux Management  
Company S.A.p

Custodians, Third-Party Administrators (TPAs) and Investment Managers face a daunting maze of regulatory and portfolio compliance requirements. They must manage large numbers of accounts on different validation schedules while integrating data from multiple sources. New funds must be onboarded quickly, and complex monitoring rules must be deployed with speed.

At Linedata, we’ve applied 20 years of experience as dedicated, independent asset management solution providers to delivering Linedata Compliance, an enterprise-wide pre-trade and post-trade monitoring and breach management solution.

Linedata Compliance is used by over 70 firms worldwide, including industry leaders who screen thousands of funds per day for regulatory (such as ‘40 Act, UCITS and AIF) and portfolio compliance. NAV validation and regulatory reporting are also available as part of an integrated solution. As global hosting experts, we can host Linedata Compliance for you or deploy it at your premises, depending on your needs.

### Why Linedata Compliance

Linedata Compliance simplifies post-trade compliance, putting you in control in three key areas:



#### Rapid rule creation and maintenance

- Over 250 pre-packaged parameterized rules supporting thousands of specific regulatory and prospectus compliance use cases
- Satisfies bespoke compliance requirements with an intuitive rule builder designed for business users
- Rapid rules review and 4-eyes approval with ‘Maker/Checker’ workflow



#### Prompt breach analysis and resolution

- Improved operational efficiency through rapid identification, analysis and reporting of regulatory and portfolio breaches
- Ability to tailor bespoke dashboards to your specific requirements, with widgets that can be configured, extended or built to meet any visualization requirements
- Automatic breach communication via email alerts per user type and breach severity



#### Ongoing compliance and reporting

- Scalable solution used by industry leaders to screen thousands of funds in real time for breaches and potential compliance risk
- Full audit trail and complete transparency around historical compliance and breach resolution
- Automation of reporting requirements, including AIFMD, UCITS, disclosure, mandate review and more



### Fast facts

Linedata compliance is a robust, scalable monitoring and breach management solution.

- Over 70 clients worldwide
- More than 25 separate jurisdictions
- Over 250 pre-packaged rules
- Thousands of funds screened daily by the largest clients

### Your post-trade compliance questions. Answered.

Linedata Compliance answers tough questions faced by Custodians and Third-Party Agents, such as:

- Can I see at a glance how many breaches I need to review, and sort them by priority?
- Can I be notified about missing data or data quality issues?
- Can I see calculation details for complex rules?
- Can I calculate AIF leverage and UCITS commitment for use in risk reports?
- Can I provide results on a web portal after internal validation?
- Can I easily define rules inheritance and aggregation to avoid double work?

With Linedata Compliance the answer is ‘Yes, you can!’

### Fund setup made easy

Onboarding new funds has never been easier, thanks to:

- A range of data format and upload options including flat files, APIs and database to database
- Quick-start setup of datapoints (e.g. fund name, group name, currency, domicile, applicable regulation) from flat file data
- Data integration with your data warehouse, ICE (via Linedata), Bloomberg and other third-party sources

### Robust post-trade compliance solution

Linedata Compliance is more than just rules validation. Benefit from:

- ‘40 Act, AIF and UCITS reporting
- Global exposure and risk calculations
- NAV validation, including complex composite benchmark calculations
- Expert advice and support from our compliance and solution experts
- Our 20 years as industry leaders in asset management solutions

### Linedata Asset Management

We offer a robust, configurable platform of software, data and services that enable our wealth, institutional and alternative clients to grow, operate efficiently, manage change and provide excellent service to their own clients and stakeholders.

### About Linedata

With 20 years’ experience, Linedata provide global humanized technology solutions and services for the asset management and credit industries that help its clients to evolve and to operate at the highest levels. Headquartered in France, Linedata achieved revenues of EUR 173.2M in 2018 and is listed on Euronext Paris compartment B FR0004156297-LIN – Reuters LDSV.PA – Bloomberg LIN:FP.

**700+** clients

**50+** countries

**1,300** employees

**20** offices