

## Case Studies - Linedata Compliance Solution



Linedata Compliance is a global, enterprise-wide compliance monitoring and breach management solution that provides advanced pre-trade and post-trade compliance checks, comprehensive monitoring and flexible reporting capabilities across all markets, regulatory agencies and asset types.

Linedata Compliance monitors restrictions including prospectus and mandate rules, and regulatory requirements (such as '40 Act, UCITS and AIF). The comprehensive rules database draws on Linedata's deep industry knowledge as an asset management solutions provider for over 20 years. NAV validation and regulatory reporting are also available as part of a single integrated solution.

We provide cloud hosting or on-premises deployment, depending on your business requirements.



### MUFG Luxembourg Management Company SA ("MUFG LM") – leading provider of fund administration and Management Company services

MUFG LM provides management company ('ManCo') services to over 150 funds from Mitsubishi UFJ Financial Group companies, and third-party funds domiciled in Luxembourg, Ireland, the Cayman Islands and Bermuda. One of Luxembourg's largest AIF managers, MUFG LM also handles a wide variety of UCITS, hedge, private equity and real estate funds.

MUFG LM's compliance team is relatively small. As such, they appreciate our solution's intuitive user interface and default templates, which make rule creation and updates fast and easy.

However, our compliance solution for clients like MUFG LM goes beyond software delivery. With over two decades of asset management experience, we know which questions to ask to understand each firm's compliance needs and help them configure the right rules for their specific requirements.

#### AIFMD compliance with Linedata AIFMD Regulatory Reporting

Since the introduction of the AIFM Directive in 2013, Management Companies have been presented with additional regulatory filing requirements which are often challenging and time-consuming.

MUFG LM and Linedata partnered to develop a one stop solution, Linedata AIFMD Regulatory Reporting, which addresses AIFMD while automating the reporting process from data mining through to report generation. Linedata AIFMD Regulatory Reporting is an automated control suite which addresses all aspects of AIFMD workflow, while offering a customized and open framework to meet the specific needs of each client.

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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 MUFG Lux  
Management Company S.A.



### Case #2: Leading provider of fund administration services

This client provides a comprehensive range of asset management services for financial institutions and institutional investors worldwide, including Belgium, France, Ireland, the UK and Switzerland, Hong Kong and Singapore, and the US and Canada.

A Linedata customer since 2001, the firm's center of excellence, which provides services to other corporate branches, uses Linedata Compliance and NAV validation solutions for post-trade compliance and NAV controls. Linedata has tailored its solution as our client's needs have evolved through multiple M&As and changing regulatory requirements.

Every day our client uses our compliance solution to check nearly 2,000 funds for compliance with regulatory and prospectus requirements. The solution's powerful rules engine performs these complex calculations quickly and accurately, managing massive amounts of data, thousands of portfolio requirements, and a wide variety of new and traditional asset classes.

With so many funds to manage, time is of the essence. The Linedata Compliance solution's intuitive user interface enables our client's team to rapidly onboard new funds and adapt screening rules as portfolios change.

Clear dashboards, alerts and reports make it easy to identify breaches, and full integration with the underlying platform supports rapid issue resolution. A clear audit trail and detailed reporting further enable the firm to fully meet its obligations to regulators and clients.

### Case #3: Independent ManCo with an ambitious growth strategy

This client is a leading independent UCITS Management Company and Alternative Investment Fund Manager (AIFM), offering solutions for Luxembourg, UK and Ireland-based funds.

As a fast-growing ManCo with market leadership ambitions and an emphasis on institutional investors, the firm chose Linedata Compliance for its post-trade compliance requirements. It selected Linedata over competitor solutions because we offered a newer, more compelling solution, complemented by excellent service and deep knowledge of the Luxembourg, Irish and UK markets.

With nearly 500 funds and an AUM of nearly €100 billion, our client's strategy is to keep fund administration activities in-house. This enables it to manage costs while expanding and maintaining internal knowledge and capabilities.

Linedata Compliance supports this strategy by providing a cost-effective, scalable solution that addresses the firm's risk, oversight and compliance requirements and supports its ambitious growth and client services objectives.

**Linedata Compliance – fast facts**  
Linedata compliance is a robust, scalable monitoring and breach management solution.



Over **70**  
clients worldwide



More than **70**  
separate jurisdictions



Over **250**  
pre-packaged rules



**Thousands** of funds  
screened daily by the largest  
clients

#### About Linedata

Linedata Asset Management offers 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.

With over 20 years' experience, Linedata delivers humanized technology that empowers leading asset management and credit industry firms worldwide to evolve and operate at the highest levels.