

Linedata Compliance Portfolio Solutions for Investment Managers and Wealth Managers

Staying on top of global regulatory and portfolio compliance requirements is a significant challenge for teams of any size. Failure to keep up can result in regulatory sanctions or reputational loss. You need streamlined workflows for fast on-boarding of new funds and mandates with complex rules. Easy to use tools are critical for timely monitoring and alerting with real-time access to enable effective breach management.

At Linedata, we've applied 20 years of partnering with asset managers and solving their toughest compliance problems, to delivering Linedata Compliance, our award-winning solution that puts robust and innovative compliance for the future at your fingertips today.

Linedata Compliance is trusted by over 70 firms worldwide, a fully automated, highly scalable solution with unique capabilities such as "what if" portfolio analysis, designed to bring transparency and efficiency to the compliance operations demands of wealth and investment managers.

Linedata Compliance helps you answer tough questions:

- Can I validate compliance results anytime: pre-trade, in-trade, post-execution, and end-of-day?
- Can I re-run compliance for "as of" any historical date?
- Can I see at a glance how many breaches I need to review, and sort them by priority?
- Can I incorporate compliance checks into portfolio analysis of "what-if" orders?
- Can I maintain compliance tolerance levels for portfolio rebalancing models?
- Can I monitor shareholder disclosure, and other industry regulations?

With Linedata Compliance the answer is **Yes, you can!**



"As a wealth manager we pride our ourselves on superior client service. With Linedata we are executing our compliance obligations in top-notch form. The system has an automated workflow that fits our regulatory needs, individual risk profiles and strategy parameters. Their team expertise helped us transition very smoothly from our in-house program. We now have a clear and immediate view of our compliance risks and proactively manage them in a timely manner."

Wealth Manager, COO, \$245B AUM

Why Linedata Compliance

Linedata Compliance puts you in control in three key areas:



Comprehensive rule creation and coverage

- Intuitive rule builder designed for business users with over 250 pre-packaged parameterized rules
- Global jurisdictional coverage across all asset classes and product types
- Significant shareholder monitoring capabilities, including short selling and takeover panel
- 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
- Exposure based monitoring and alerting
- Dashboards tailored to your specific requirements, with widgets configured, extended, or built to meet any visualization requirement
- Automatic breach communication via email alerts per user type and breach severity
- Integrated capabilities support ability to quickly and easily grasp risk guidelines and adjust allocations



Enhanced transparency and comprehensive reporting

- Thousands of portfolios screened in real time for breaches and potential compliance risk
- End to end audit trail with full transparency around historical compliance and breach resolution
- Automation of reporting requirements, including AIFMD, UCITS, disclosure, mandate review and more
- Demonstrates transparency to board, trading desk, auditors, and customers

Fast facts

Linedata Compliance gives you robust adaptability, backed by exceptional client support and business intelligence innovation.

- Over 70 clients worldwide
- Over 250 pre-packaged rules
- Thousands of portfolios and accounts screened daily
- Easily incorporates workflows across multiple internal user types

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 provides 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.

700+

clients

50+

countries

1,100

employees

20

offices



To learn more, contact us at getinfo@linedata.com or visit linedata.com/compliance