Linedata Compliance

Modern Exception Management for Investment Managers and Wealth Managers

Effortlessly stay on top of compliance-focus on what matters most.
Empower your team with web exception management capabilities that are intuitive, intelligent, and built for modern investment operations.

Linedata Compliance transforms how you monitor, investigate, and resolve compliance breaches with a seamless, data-rich experience—designed for scalability and agility across your business.
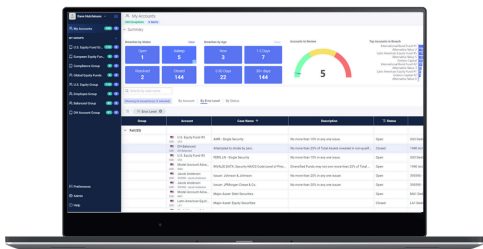
How Your Compliance Team Benefits

- **Modern, intuitive workflows** tailored to business needs
- **Fewer resources required** to stay in control of complex mandates
- **Clear visibility** into compliance exceptions, supported by data-rich dashboards
- **Seamless access to breach data** for research, reporting, and audit
- **Pre-packaged, configurable rules** across global jurisdictions

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> *"With Linedata, we are executing compliance obligations in top-notch form. The team expertise made it a smooth transition and the automated workflow fits our regulatory needs and risk profiles. We now have immediate risk visibility and can act on them quickly."*
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> **Wealth Manager, COO, $245B AUM**

Linedata Compliance -proactive, intuitive exception monitoring with modern UX, streamlined upgrades and ongoing value delivery.

Transform Compliance Oversight with Intuitive Exception Management

Staying ahead of global regulatory demands and internal mandates is more complex than ever. With limited resources, firms need powerful tools to monitor, investigate, and resolve compliance issues efficiently.

Linedata Compliance delivers a modern, streamlined compliance experience:

- Real-time exception tracking with pre-, intra-, and post-trade monitoring
- Configurable notifications that highlight the issues that matter
- Drilldown access to breach details, audit trail, and historical context
- Custom views and collaborative commentary to support investigation

Compliance That Evolves with You

With Linedata, you benefit from:

- Ongoing delivery of new features without disruptive upgrades
- Scalable exception management across thousands of portfolios
- Visualization tools that match how you work
- Integrated services and support to grow with your business
- Integrated workflow tools to streamline resolution and oversight

Smarter, Faster Compliance with AI: Automating the Compliance Operations Lifecycle

Investment compliance onboarding is manual, error-prone, and resource-intensive. It requires teams to scan complex investment rules and guidelines, identify key terms, and translate them into monitoring rules—and that's just onboarding.

Frequent updates, lack of standardization, and limited specialist resources create bottlenecks and risk across the compliance lifecycle.

Linedata's AI Compliance Assistant, built on generative AI, transforms this workflow by automating guideline extraction, rule mapping, and automated updates—boosting accuracy, efficiency, and scalability for financial firms.

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

Why Linedata

With over two decades of deep industry expertise, Linedata delivers more than just technology—we deliver confidence. We've partnered with leading investment and wealth managers to tackle their toughest compliance challenges and evolved Linedata Compliance into a future-ready solution.

Trusted by over 70 firms globally, Linedata Compliance is a fully automated, highly scalable platform that combines exception-based monitoring with intuitive workflows and powerful "what-if" portfolio analysis. The result: enhanced transparency, greater efficiency, and stronger compliance outcomes across your operations.

Linedata

We offer a modern, configurable platform of front office, compliance and investment operations solutions that enable our wealth, institutional and alternative clients to grow, operate efficiently, manage change and provide excellent service to their own clients and stakeholders.

350
buy-side clients

50+
countries

1.350
employees

20
offices

Book a 10-Minute Demo.
Let's explore how Linedata Compliance can simplify your day.
Linedata.com/contact