

PRODUCT BROCHURE

COMPLIANCE MANAGER

As a compliance officer, you face an unprecedented wave of new regulations, more risk-averse clients, and complex investment strategies. Compliance Manager ensures that investments are made compliant and transparent in accordance with the parameters set by your clients and regulatory agencies.

COMPLIANCE
MANAGER

COMPLIANCE MANAGER: SATISFY CLIENT AND REGULATORY NEEDS ALIKE

While your clients have become more demanding in terms of transparency, risk tolerance, and scope of mandates, they have in no way toned down their demands for growth. Resolving this dilemma is the core essence of Compliance Manager - reconciling the need for regulatory and client compliance with the drive for unrestricted growth.

TRUTH AND CONSEQUENCES

- ADDRESS BOTH WITH COMPLIANCE MANAGER

You can probably cite a host of examples of what happens to investment management institutions' reputations, profitability and, ultimately, ability to conduct business when compliance breaches are not quickly dealt with. You need a compliance solution that promptly identifies compliance issues and provides a means to address them. Compliance Manager delivers a powerful rule-creation capability that you can apply at any level of the investment hierarchy, as well as options for pre-trade, post-trade, and end-of-day compliance - all in a single solution. Needless to say, Compliance Manager does not restrict itself to simply identifying compliance issues: it also provides the means to resolve them.

SINCE 2010, THE SECURITIES AND EXCHANGE COMMISSION (SEC) HAS LEVIED ROUGHLY US\$3 BILLION PER YEAR IN PENALTIES/RESTITUTION FOR COMPLIANCE BREACHES IN THE US ALONE (SOURCE: WWW.SEC.GOV). IN MANY CASES, THESE SANCTIONS COULD HAVE BEEN AVOIDED WITH ADEQUATE COMPLIANCE SYSTEMS IN PLACE.

COMPLIANCE MANAGER IS SCALABLE, ADAPTABLE, AND READY TO HANDLE THE UNPRECEDENTED WAVE OF REGULATION IMPACTING THE INVESTMENT MANAGEMENT INDUSTRY

With an intuitive user interface and ability to provide real-time pre-trade, post-trade, and end-of-day compliance monitoring, Compliance Manager is the only solution you need to manage your investment compliance.



SIMCORP DIMENSION MANAGERS, EXPLAINED

Our integrated system is made up of different components covering all functions in your front, middle, and back offices. We call these components 'Managers' because they refer to the relevant role they support within your company.

Throughout the investment management value chain, your operations are in the hands of different people in different roles, where each role has its unique requirements. This is why we've built SimCorp Dimension in a role-based manner so that all your roles (Managers) are covered, front-to-back.

KEEP UP WITH AN INCREASINGLY COMPLEX REGULATORY WORLD

As regulations become more stringent, client mandates more discerning, and investment managers require greater safeguards against compliance breaches, Compliance Manager provides you with all the tools needed to handle increasingly complex client mandates with confidence and control.

UP-TO-THE-MINUTE COMPLIANCE RESULTS

Between the placement and execution of orders, it is imperative that checks and balances are in place to avoid the consequences of compliance breaches. With a highly automated solution that is able to display compliance results – and possible courses of action – almost immediately, you can be certain that compliance implications are known both before and after trades have been made.

EASY TO USE AND VISUALIZE

It is often said that a picture is worth a thousand words. With all compliance functionality available on a single screen, and a dashboard representing various metrics in graphical format, you are able to get a firm grasp on compliance status and which issues have the most pressing priority. Inspired by leading personal productivity applications, the user interface is familiar, logical, and simple to use.

AN ACTIVE SOLUTION

Compliance Manager is much more than a display of compliance results and means of creating various rules. Rather than serving as a passive monitor of compliance results, your solution will alert you when a compliance event of significance has occurred. You can rest assured that the alerts received will be of importance as you will decide when an alert is warranted.

INCORPORATE BOTH INTERNAL AND EXTERNAL VALUES

You can run compliance checks, or create and modify rules, using both internal values from the solution or values from another system. These values can be incorporated into compliance calculations and rules, expanding depth and coverage of the solution. It also significantly lowers the time and resources you need to conduct compliance checks manually, freeing you to concentrate on more productive activities.

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Because of the system's compliance functionality, we have also been able to deal with an increasingly diverse range of clients and investment prescriptions so we now support a much wider range of clients.

MARTYN RYAN

COO & Partner, Genesis Investment Management.

GAIN TRANSPARENCY AND INSIGHT WITH COMPLIANCE MANAGER

- Scales with your business growth and increase in mandates, transactions, rules, and investment types without a corresponding increase in costs.
- Provides you with an immediate overview and insight, all in one workspace with minimal clutter.
- Reduces time-consuming and error-prone manual processes, allowing you to focus on resolving compliance breaches as opposed to manual administration.
- Assures you flexibility and ease of use with rule creation/management and compliance check results/actions performed on a single screen.
- Integrates and dynamically updates risk figures directly into compliance rules and validations.
- Alerts you when significant compliance issues occur and details available courses of action.
- Reduces your operational risk with rapid pre- and post-trade restriction capabilities.

“It has therefore been a major priority for us to find and deploy a solution that would not only help us manage and streamline workflows, but also allow us a competitive advantage in being able to efficiently mitigate risk and comply with regulatory requirements. We have spent more than a year evaluating the market and have no doubt that SimCorp Dimension is the system best suited to meet our existing and future business needs.”

EERO ERIKSSON

Director, Fennia Mutual Insurance Company

THE TOOLS YOU NEED TO ENSURE CLIENT AND REGULATORY COMPLIANCE

You neither have the time nor inclination for time-consuming, error-prone, and tedious manual processes. You need a solution that supports and enhances your compliance and regulatory efforts. With a comprehensive set of features specifically tailored for your requirements and market demands, Compliance Manager delivers the tools you need to run your compliance function with efficacy and confidence.

INTEGRATED RISK ANALYTICS

Risk figures such as value at risk (VaR), stress test results, and more can be directly implemented into compliance rule creation and subsequent validations. The risk figures are automatically and dynamically updated with no need for manual processes. The end result is improved efficiency and more informed decision making.

ALERTS AND DASHBOARDS

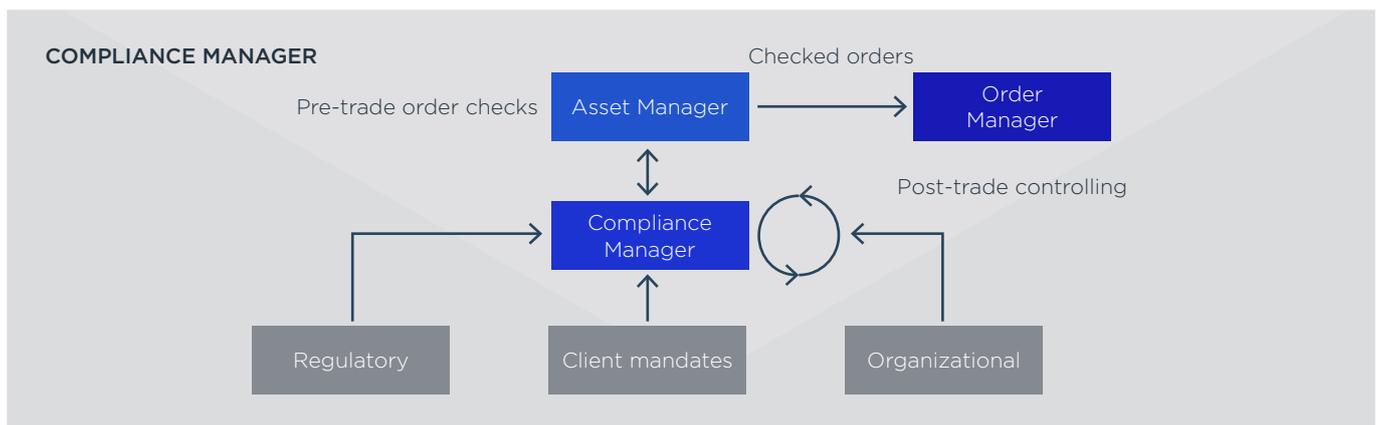
Compliance Manager is equipped with powerful tools that allow you to detect and react to compliance issues as and when they occur. They facilitate a full audit trail, giving you a concise overview of compliance metrics at both pre- and post-trade levels.

PRE- AND POST-TRADE CAPABILITIES

Either before or after a trade is made, and many times at the end of the business day, you need to be aware of your compliance status. A comprehensive pre-trade monitor, coupled with robust post-trade capabilities, make Compliance Manager the only solution you need for your compliance requirements.

CASH MONITORING RULES

While rules are typically in place to include transactions on the agreement date, you also need to ensure that there is sufficient cash on hand to settle trades on the settlement date, typically two to three days later. The automated cash monitoring capabilities ensure that there is sufficient cash when needed and thereby reduce operational risk.



Process flow in Compliance Manager

READY, SET, GROW

Compliance Manager belongs to SimCorp’s portfolio of integrated front-to-back solutions for business process automation in investment management. Efficient workflows seamlessly integrate your organization and provide accurate and up-to-date information when you need it, empowering you and your business to mitigate risk, reduce cost, and enable growth.

SimCorp’s flexible and scalable solutions allow you to capitalize on opportunities as they arise and swiftly adapt to changes in business requirements. Leading investment management institutions worldwide rely on SimCorp solutions to provide optimal business conditions and secure competitive advantage. Get ready for growth with SimCorp.

Explore SimCorp’s solutions at www.simcorp.com/en/solutions

SIMCORP DIMENSION – AN INTEGRATED SYSTEM



IBOR

ABOUT SIMCORP

SimCorp provides integrated, best-in-class investment management solutions to the world's leading asset managers, fund managers, asset servicers, pension and insurance funds, wealth managers and sovereign wealth funds. Whether deployed on premise or as an ASP solution, its core system, SimCorp Dimension, supports the entire investment value chain and range of instruments, all based on a market-leading IBOR. SimCorp invests more than 20% of its annual revenue in R&D, helping clients develop their business and stay ahead of ever-changing industry demands. Listed on NASDAQ Copenhagen, SimCorp is a global company, regionally covering all of Europe, North America, and Asia Pacific.

For more information, please visit www.simcorp.com.

ONE SYSTEM FOR A COMPLEX WORLD



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