

PRODUCTS

Investment Compliance

FUNDS  AXIS

Proprietary and Confidential





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Overview

With our Investment Compliance Monitoring Software we offer out-of-the box coverage of the UCITS rules as well as other regulatory rules (Non-UCITS rules, US 1940 Act, Canadian Mutual fund rules, Prospectus Limits and many other rules based on fund domicile).

Our suite of global funds technology contains a comprehensive investment compliance module to help meet your post-trade compliance needs in accordance with the different regulatory requirements.

Our solution is used by leading global asset managers, banks, management companies, fund administrators and custodians to automate their regulatory compliance through industry-leading cloud technology.

Features

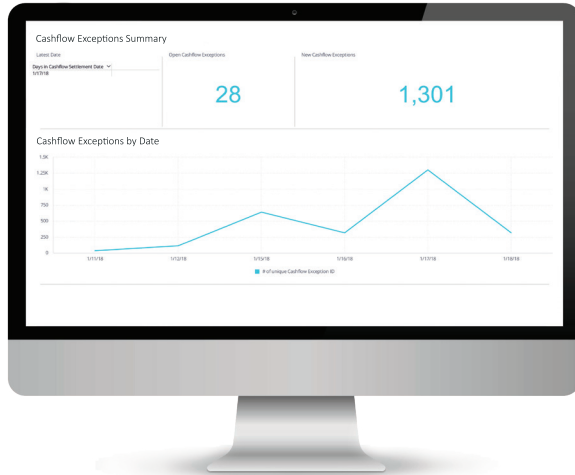
- \ In-built rules engine containing 2,000+ investment rules maintained and fully up-to-date
- \ Ability to create customised rules to meet your monitoring requirements
- \ Full history and audit trail
- \ Data quality built-in
- \ Comprehensive liquidity, leverage and counterparty risk monitoring functionality
- \ Email alerts and notifications of breaches
- \ Interactive Dashboard Reporting
- \ Available as Technology-only or as a Managed Service

Benefits

- \ Obtain instant analysis of compliance and risk across your portfolios
- \ Automated production of Management Information across your business
- \ Identify and resolve issues before they become breaches
- \ Full compliance with regulatory change

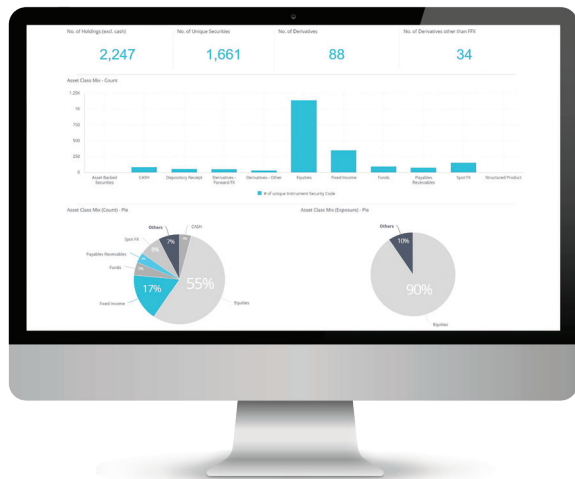
Breach Management and Workflow

View and track all of your current and historic investment compliance breaches.



Holding Analysis

Analyse your fund portfolios according to geographical location, asset class, derivative exposure and other criteria.



Risk Reporting

Take an in-depth look at your portfolio including a breakdown of your holdings liquidity.

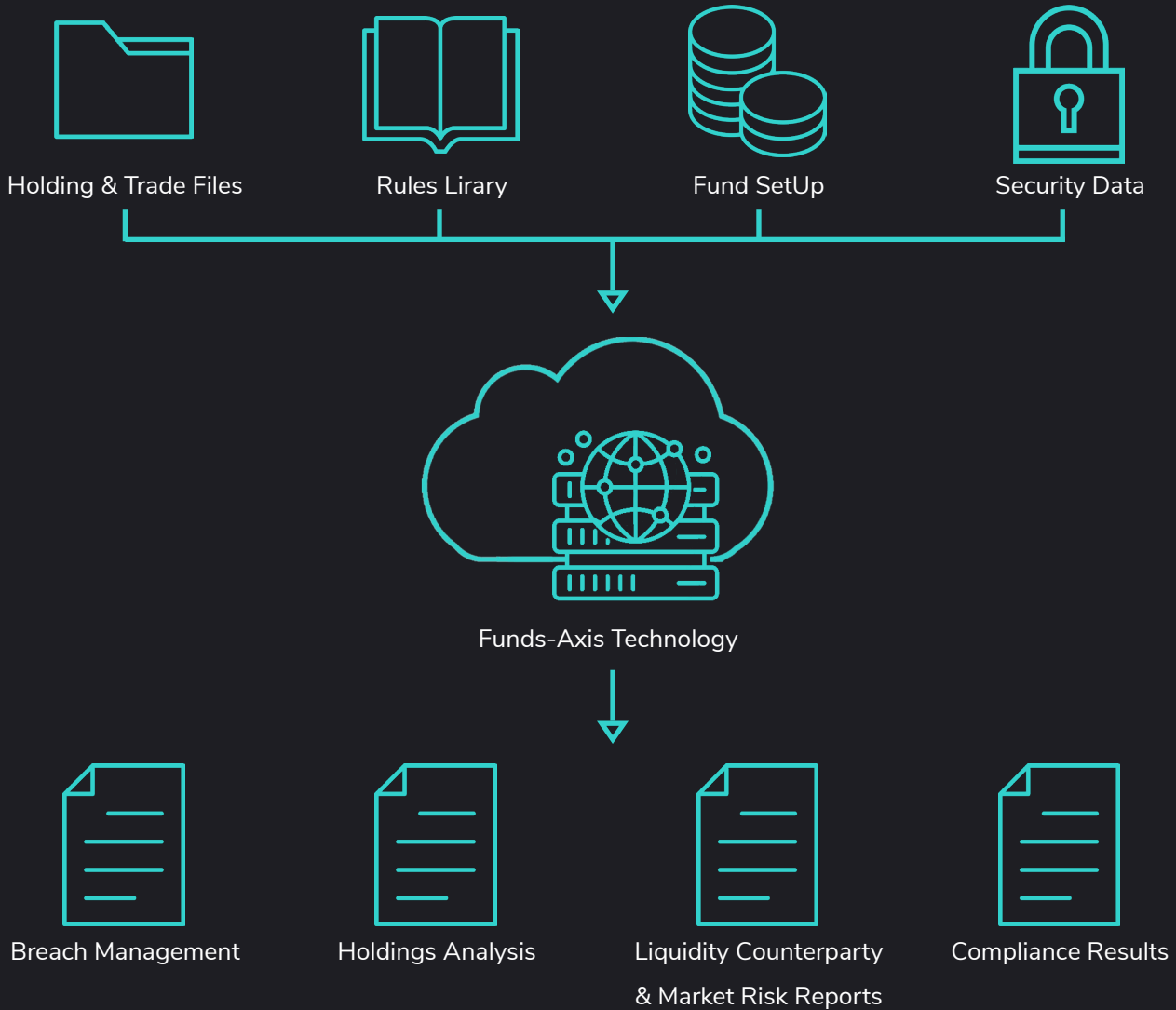


Monitor your counterparty exposure including collateral & margin governance.

Full coverage of all leverage calculations in accordance with ESMA Guidelines.



The Process



Integrations

Onboarding is quick and cost effective through our existing integrations with multiple prime brokers, administrators and data providers.

Prime Brokers / Cash Flow Integrations



Fund Administrators and Accounting Integrations





Security Data Vendors





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