



FUNDS  AXIS

INVESTMENT
COMPLIANCE

PRODUCTS



INVESTMENT COMPLIANCE

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 being 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

- ✚ Increased efficiency and accuracy of processes and results
- ✚ 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

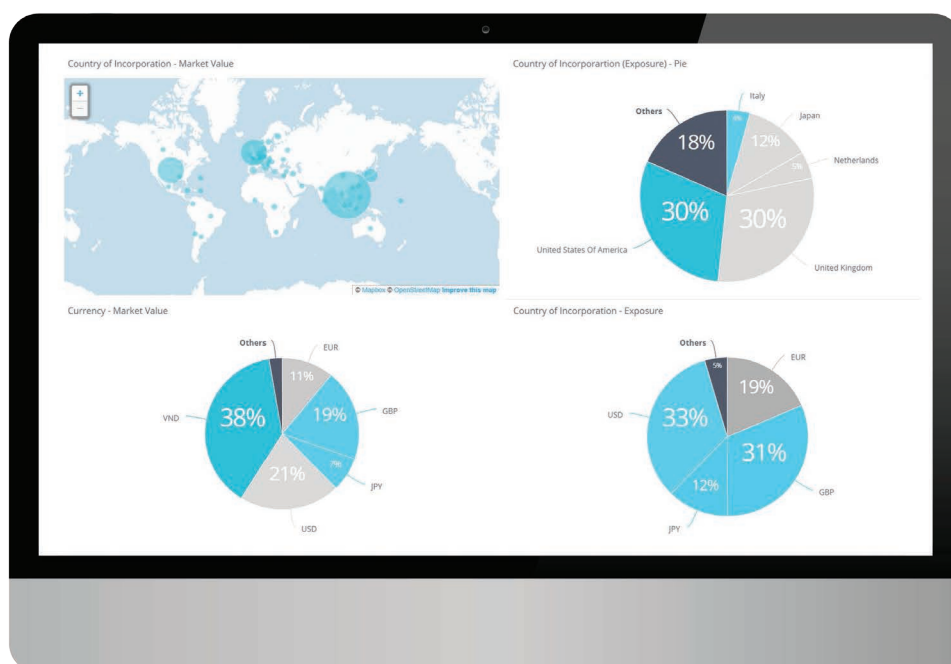
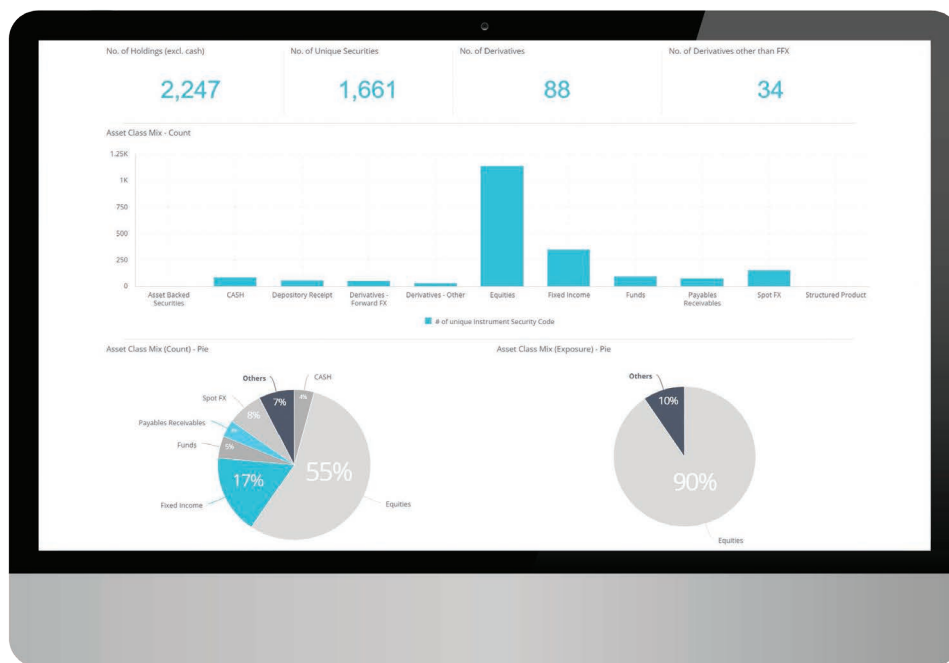
BREACH MANAGEMENT AND WORKFLOW

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



HOLDINGS ANALYSIS

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

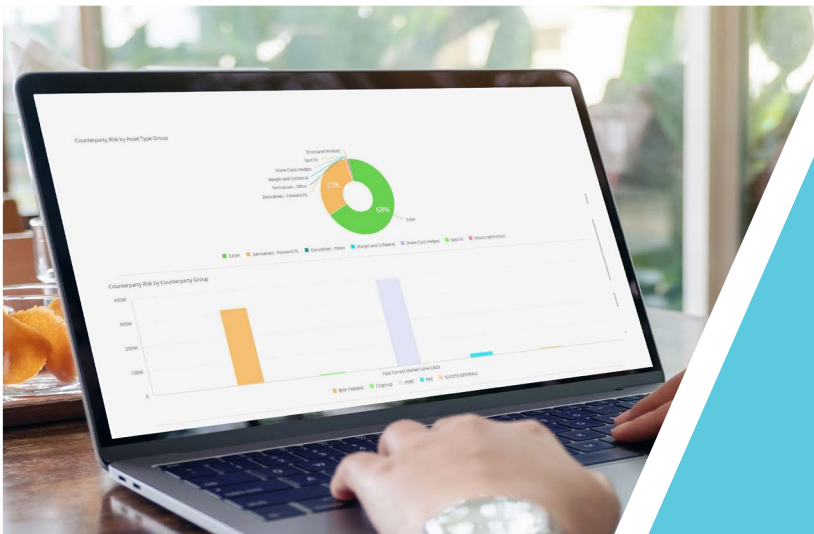


RISK REPORTING

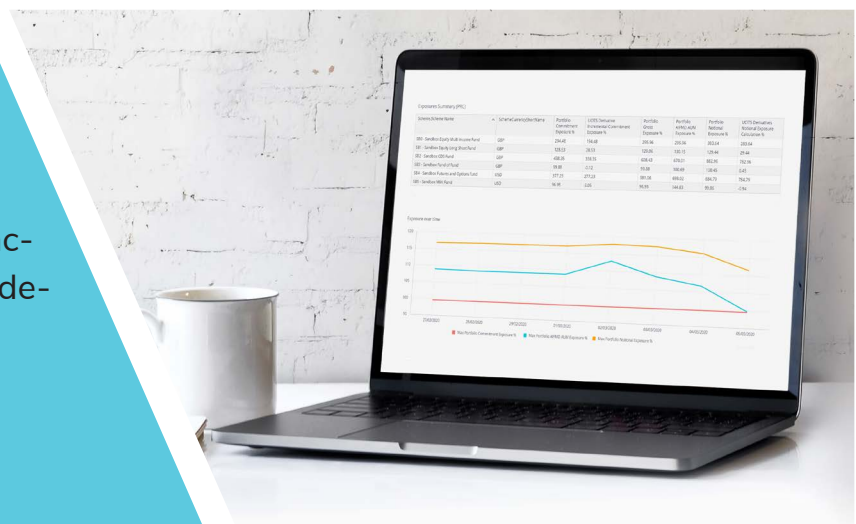
Take an in-depth look at your portfolio including a breakdown of your holdings liquidity.



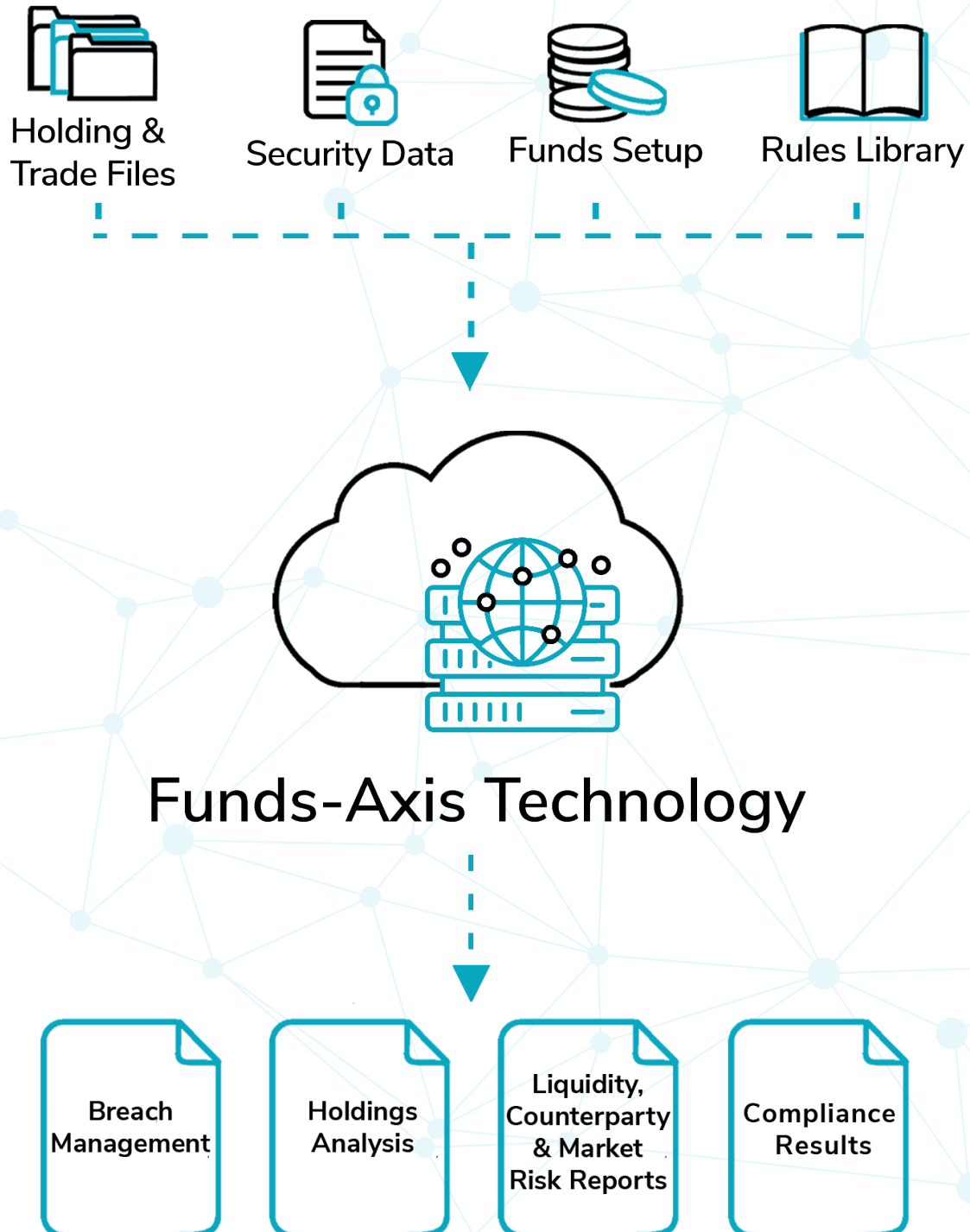
Monitor your counterparty exposure including collateral and margin governance.



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.



Morgan Stanley



J.P.Morgan



BNY MELLON



Bloomberg

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