Clients, Regulators, Auditors—One Answer

Between government regulations, client requirements and your firm's investment policies, compliance has become increasingly complex. At the same time, the ability to demonstrate good compliance practices to institutional clients and prospects has become a competitive necessity. Yet, at many firms, monitoring trades and portfolios for compliance is a time-consuming manual process. And too often, breaches are discovered only after the fact.

With Advent Rules Manager,® a comprehensive solution for trading compliance and portfolio monitoring, you can turn your policies and procedures into automated processes, eliminating manual labor and improving accuracy. Working together with Advent's Moxy® trading system, Advent Rules Manager allows you to implement the proactive controls demanded by regulators, manage your clients' complex restrictions and improve compliance readiness across your firm.

Moreover, at a time when investors are more rigorous in due diligence, Advent Rules Manager gives you a marketing advantage. It demonstrates to prospects that you have a system in place to enforce policies and protect their interests. Clients will have complete confidence that you are managing risk, honoring client commitments and adhering to your stated policies.

Benefits Across Your Business

Complying with government regulations and being prepared for examinations are integral to managing an investment firm—and Advent Rules Manager makes it easier to do both. But its benefits extend beyond the Chief Compliance Officer's desk and day-to-day compliance.

- Traders can make trades without worrying about client directives, knowing that Advent Rules Manager is checking for restrictions. Compliance need not impede trading and with Advent Rules Manager, it doesn't.
- Portfolio managers can easily verify if their holdings are in line with investment guidelines, and make adjustments as needed.
- Client service and marketing representatives can more effectively and comfortably address due diligence questions.
- Executives can focus on growing the business with the peace of mind that the firm is ready for tough client questions or in the event of a regulatory exam.

Meeting Demand

Advent Rules Manager gives you a powerful advantage in addressing a range of complex compliance issues, providing you with:

- Comprehensive, preventive rule-checking and proactive controls
- Proactive portfolio monitoring to ensure portfolio compliance
- Easier preparation for regulators' examinations by replacing manual, ad hoc efforts with automated processes
- Comprehensive, automated record-keeping, with flexible and easy reporting that saves time and expense of operational resources
- The ability to demonstrate compliance through the use of a credible, consistent and accurate solution
- Integration with Advent's trading and portfolio accounting platforms to improve workflow efficiency and minimize manual intervention

Advent Rules Manager® allows you to implement proactive controls demanded by regulators, manage clients' complex restrictions and provide your Chief Compliance Officer with better tools to monitor trading.

RULES MANAGER®

Welcome, adventigxs | Help | Logout

Action Rules Review Reports Tools

Rule Guide

Create Rule

Policy <All>

Find Rule Name Go

Expand/Collapse All

Cash Buffers and Limits

Cash and Currency LimitRule
Min $1M Cash
Portfolio cash buffer of at least $1M USD

Cash Limits LimitRule
Max 10% Cash
No more than 10% of portfolio may be in cash

Cash Limits LimitRule
Min 5% Cash Buffer
At least 5% of portfolio market value should be in cash

Client Restrictions

Issuers and Securities ListRule
Do Not Sell Securities
Do not sell listed Securities

Issuers and Securities ListRule
Restricted Issuers
Do not buy or hold the listed Issuers securities.

Issuers and Securities ListRule
Restricted Securities
Do not buy or hold listed Securities

Credit Ratings

Fitch Ratings LimitRule
Fitch >= F3
Portfolio may not hold securities with a Short-Term Fitch rating below F3.

Moodys Ratings LimitRule
Moody >= P2
Moodys Short-Term rating must greater or equal to P2.

Moodys Ratings LimitRule
Moody Ba3-Aa3
Moodys Long-Term rating must be between Ba3 and Aa3

Rule Guide

About the Rule Guide

In the left-hand panel of this page, Advent Rules Manager provides predefined templates that you can use to create new list or limit rules. Each template is based on a specific example of a rule. Advent Rules Manager provides templates for rules in different areas of compliance policy, such as Socially Responsible Investing, Portfolio Exposure, Credit Ratings, Cash Buffers, SEC Companies Act of 1940, etc.

You can search for rule templates according to the general policy area that most closely matches the rule you want to create. When you select a template, Advent Rules Manager displays guidelines and data requirements for the selected template in the right-hand panel of this page. Use these guidelines to determine whether the template matches your requirements.

To Create Rules

Select a template, and then click the Create Rule hyperlink at the top right of the page. Advent Rules Manager opens the appropriate rule creation page with the fields on the page already defined according to the template. If a template is based on:

- Lists: Specify a list on which to base the rule for your compliance requirement. You can either select an existing list, or open the List Definition dialog box and construct your list by choosing the appropriate items to include.
- Limits: Modify the template's limits to reflect the appropriate dimension members and high and low levels for your compliance requirement.

Example: One of your clients requires that you not hold the stocks of any tobacco, alcohol, or firearms companies in their portfolio. After searching the Rule Guide, you find several rule templates under the Socially Responsible Investing policy area for No Tobacco, No Alcohol, and No Arms. You select the No Tobacco rule template based on industry classifications. Advent Rules Manager opens the List Rule page with the dimension predefined to Industry Group and actions set to restricted. To complete the rule, you must specify or create a list of the Tobacco, Alcohol, and Defense & Aerospace industries. Once you save the rule, you can assign it to your client's portfolio.

Advent Rules Manager's rule library provides a set of robust, easy-to-use templates for creating and maintaining rules.

Know when a trade you are about to make falls outside guidelines—before you make it.

Key Features

Advent Rules Manager gives you a number of unique capabilities that take the guesswork out of compliance, including:

Compliance home page. A complete view into your compliance activity, updating you on any ongoing issues or changes in rules.

Rule library. Easy-to-use rule guide templates enable you to create rules to automate compliance with your specific investment policies and criteria.

Proactive rule checking. Know when a trade you are about to make falls outside guidelines—before you make it. Check for breaches in client mandates or industry regulations and prevent violations from occurring.

Post-trade compliance. As the market fluctuates, so do the value proportions of your holdings. Portfolio holding checks automatically monitor changes in the market to determine whether your portfolio has been affected.

Issue tracking. When a rule failure (infraction) occurs, issue tracking enables users to attach notes and create an audit trail showing how often the issue has occurred.

Rule suppression. Ongoing compliance issues can be temporarily suppressed. Advent Rules Manager allows you to simply and easily suppress a rule until a date or specific threshold is reached.

Secondary approval. If two approvals are required, automated email notifications can be sent to the compliance team. These emails will also display on the home page.

Rules management. Quickly create rules and see how they are changed or applied, when and by whom, to provide a complete view into the lifecycle of a rule.

Don't let compliance slow you down.

Proven to Perform

Like all Advent solutions, Advent Rules Manager is the result of an in-depth understanding of the asset management business and what it takes to succeed today. In firms that face the same challenges as you, Advent Rules Manager has been proven to:

- Help strengthen client relationships with more effective communication
- Provide a marketing advantage and differentiator
- Provide insight and transparency into compliance effectiveness and readiness.
- Eliminate errors, manual processes and spreadsheet-based tasks
- Optimize trading workflow

The pace of the investment business keeps accelerating. Don't let compliance slow you down. Advent Rules Manager sets you up for success, enabling you to turn your compliance program into an opportunity.

Master the changing rules of the game with Advent Rules Manager.

For More Information

Contact your Advent Software representative, at +1 800 727 0605 in the US, +44 20 7631 9240 in Europe and the Middle East, or +852 2297 2280 in Asia.

Who We Are

Over the last 30 years of industry change, our core mission to help our clients focus on their unique strategies and deliver exceptional investor service has never wavered. With unparalleled precision and ahead-of-the-curve solutions, we've helped over 4,500 firms in over 60 countries — from established global institutions to small start-up practices—to grow their business and thrive. Advent technology helps firms minimize risk, work together seamlessly, and discover new opportunities in a constantly evolving world. Together with our clients, we are shaping the future of investment management. For more information on Advent products visit http://www.advent.com/about/resources/demos/pr.

Join the Conversation

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