



Simplify the process of getting your front office books and records in order

“Tamale helps us comply with the books and records requirements, and makes it so much easier to find information if a regulator or client has a specific question.”

Chief Compliance Officer, Institutional Asset Manager



All segments of the investment industry now face increased regulatory scrutiny and ongoing uncertainty about global regulatory changes to come. With the passage of financial reform legislation around the globe, firms now face a more complex regulatory landscape, combined with louder calls for transparency and accountability from investors. Compliance and investor confidence are the defining challenges of our time.

Advent's research management system, Tamale RMS®, helps firms face these challenges with features designed specifically to support best practices in compliance readiness. Implementation of Tamale RMS helps automate and enforce consistent policies and builds compliance into everyday workflows. It also puts firms in a much stronger position to document investment decisions and demonstrate due diligence.

Books and Records Retention

Firms are required to keep all documentation pertaining to investment decisions. Tamale RMS provides a logical, easy to use, and secure repository for all the essential information. It also enables you to document the reasoning behind recommendations and to respond quickly to inquiries with pre-formatted Tamale data extracts.



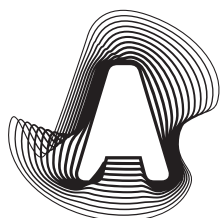
Less Painful and Time-Consuming Audits

Front offices that use Tamale have a distinct advantage with SEC audits and investor scrutiny, because they have a system designed to streamline, track and manage the investment process. Having an easier, more efficient and systematic books and records process in place with Tamale also translates into easier auditing processes. For example, investment decision-making information can be extracted from Tamale to meet SEC audit requests, solving a difficult, stressful and time-consuming problem for Tamale clients.

Universal Search, Advanced Filtering

Tamale enables you to retrieve all the information produced and collected on a company, idea, topic or keyword with a single click. The powerful universal search capability provides visibility across the entire library of information, including attachments.

Tamale's enhanced filtering gives you the power and flexibility to create complex filters with multiple parameters to find the information you care about quickly. For example, you can filter information to find meeting notes pertaining to a given investment, over a time period you define.



ADVENT

Configurable Compliance Dashboard

Diligence Grid						
Refresh Print Export to Excel						
Drag a column header here to group by that column.						
Symbol	Company	Company Meeting	Thesis	Price Target Note	Company Snapshot	
ADVS	Advent Software, Inc.	11/9/2012	12/31/2012	11/5/2012	12/30/2012	
AA	Alcoa Inc.	7/18/2012	12/30/2012	12/20/2012		
AMGN	Amgen, Inc.	1/2/2011		5/26/2012		
AAPL	Apple Computer, Inc.		7/15/2012	10/1/2012	11/16/2012	
CMCSA	Comcast Corporation	5/31/2012	7/15/2012	10/2/2012	11/16/2012	
CSX	CSX Corporation		7/4/2012	8/3/2012		
DELL	Dell Computer Corporation	9/9/2012	4/22/2012	7/10/2012		
DTV	DIRECTV Group		7/15/2012	10/2/2012	1/6/2012	
DST	DST Systems, Inc.	11/4/2012	9/27/2012	7/10/2012	12/21/2011	
GD	General Dynamics Corp.			7/4/2012		
GOOG	Google	9/11/2012	7/15/2012	10/2/2012	1/2/2013	
HPQ	Hewlett-Packard Company	1/2/2011	4/22/2012	6/2/2012		
HD	Home Depot, Inc.			9/13/2012	12/25/2011	
IBM	Int'l Business Machines C	7/18/2012		7/5/2012	2/19/2012	
MSFT	Microsoft Corporation			9/9/2012		
NSC	Norfolk Southern Corp.	11/14/2012		7/11/2012		
ORCL	Oracle Corporation		9/24/2011	10/2/2012		
005930 KS	Samsung Electronics Co Ltd	8/16/2012	6/16/2012			
VOD LN	Vodafone	7/18/2012	8/4/2012	10/2/2012		

Tamale RMS enables you to:

- > Centralize all of your critical internal and external research on a single platform
- > Retrieve all of the information on a company, sector, topic or contact with the click of a mouse
- > Bolster investor confidence
- > Optimize collaboration while protecting privacy

Configurable Compliance Dashboard

Firms need to regularly update research to comply with the firm's investment policies, which are cyclical. Tamale RMS helps firms quickly identify what key due diligence steps have been performed and those that need updating across a portfolio, watch list or group of securities. In the configurable dashboard above you can see at a glance across the portfolio what key due diligence steps have been performed and the most recent updates to easily see what needs to be updated most urgently.

Managing Expert Networks Interactions

According to a 2011 report¹ published by Tabb Group, 81% of investment professionals believe that "talking to experts" is a legitimate, value-adding part of the investment due diligence process. However, in an environment of increased SEC audits and concern about the fine line between insider trading and expert advice, investment firms also need to create and adhere to clear policies regarding interactions with the expert-networks industry. Advent's Tamale RMS enables firms to track conversations and

interactions with expert networks for due diligence and compliance purposes.

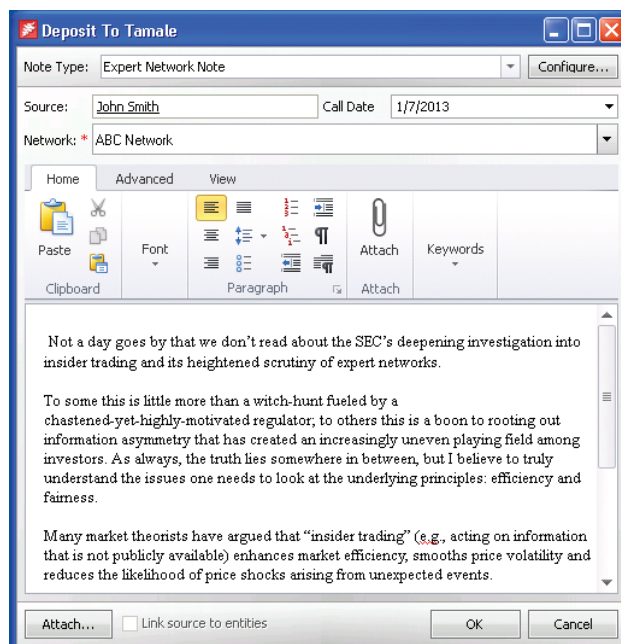
Insider Trading Monitoring

Tamale makes it easy to enter meeting notes along with all other research data on companies a firm owns or is tracking. Firms can set up special note types to easily review information received from industry experts or meetings with company management.

Service Provider Due Diligence

Investment firms need to understand and evaluate what their third-party service providers are doing to be FATCA compliant. Regulators have made it clear that the initial selection of a service provider is just the beginning. Investment firms need to monitor service providers on an ongoing basis. Just as Tamale RMS allows more effective due diligence on investments, it can do the same for due diligence on service providers. An RMS provides a central repository for organizing all the review data on each provider, including interviews, references, correspondence, agreements, and reasons for decisions. It makes it much easier to assemble and retrieve the review documentation when required by regulators.

Expert Network Note



Tamale RMS sharpens insight with a clear view into:

- > Who said what
- > Where the information came from
- > When you stored it
- > Why you saved it
- > Changes you or others made over time

Easily track due diligence with views that highlight the latest research across a portfolio. See at a glance when the latest research task was completed for each name in a portfolio or universe.

Access Control, Security and Privacy

The Tamale privacy model ensures appropriate access control and security and offers robust support for a wide variety of privacy levels within an organization. For example, research by multiple teams can be conducted on the same investment, with content remaining private to each respective team. A solid privacy wall can be maintained around private equity information while giving the team access to public equity research. The names of potential investments can even be kept private to a team or ad-hoc group of individuals.

Best Execution and Broker Evaluation

Tamale's broker evaluation solution can be used to document meetings, correspondence, research and other services used in making investment decisions. Tamale can easily be configured to match your firm's unique process for scoring individual meetings, weighting different brokerage services offered and reporting on the results. It makes broker comparisons easier, and enables you to provide brokers with feedback on the relative value of their services to your firm. Additionally, by leveraging information already stored in Tamale, it is easier to consistently follow your firm's process and policies.

“Our goal is to share as much information as possible, and make information as accessible as possible, but in the context of regulatory requirements and in a way that meets best practice standards for compliance. Tamale makes it possible.”

Chief Compliance Officer, Global Hedge Fund

Bolster Investor Confidence

Implementation of Tamale RMS sends a signal to clients that you are serious about rigorous due diligence. It enables you to demonstrate your investment process, explain your decisions and respond quickly to inquiries, whether from clients or regulators.

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 www.advent.com.

NOTES

¹ “Expert Networks: Industry Barometer,” Adam Sussman and Cheyenne Morgan, TABB Group, January 2011.

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Advent Software, Inc.

[HQ] 600 Townsend Street, San Francisco, CA
94103 / PH +1 800 727 0605
[NY] 1114 Avenue of the Americas, New York, NY
10036 / PH +1 212 398 1188
[HK] Suite 3118–3120, Level 31, Entertainment
Building, 30 Queen’s Road, Central, Hong Kong /
PH +852 3103 1000
[UK] 127–133 Charing Cross Road, London WC2H
0EW, UK / PH +44 20 7631 9240

Join the conversation



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