

Easing the Compliance Burden

As investors perform more rigorous due diligence, the ability to demonstrate sound compliance practices has become a competitive necessity. Advent Rules Manager® enables you to show clients, prospects, and regulators that you have a system in place to enforce investment policies and protect client interests. The solution allows you to implement proactive controls to ensure adherence to client and firm restrictions, portfolio strategies, and regulations.

Too often, monitoring trades and portfolios for compliance is a time-consuming, error-prone manual process, with violations coming to light only after the fact. Advent Rules Manager® provides your compliance, trading, and portfolio management teams with a comprehensive solution for trading

compliance and portfolio monitoring, enabling you to manage your clients' complex restrictions and improve compliance readiness. When paired with Moxy, SS&C Advent's trade order management system, you can turn your policies and procedures into automated

processes, eliminating manual labor and improving accuracy. With Advent Rules Manager, investors and regulators can have greater confidence that you are managing risk, honoring client commitments, and adhering to your stated policies.

The screenshot displays the 'ADVENT RULES MANAGER' interface. On the left, a 'Rule Guide' sidebar lists various rule categories such as 'Cash Buffers and Limits', 'Client Restrictions', and 'Credit Ratings'. The 'Max 10% Cash' rule is highlighted. The main content area shows the 'Rule Definition' (Cash holdings should not exceed 10% of a portfolio/group's total market value), 'Important Considerations' (Do you need to exclude specific currencies?), 'Required Data' (Security Types and Securities), and 'To Complete the Rule' (Modify limits or criteria).

Advent Rules Manger's rule guide provide as library of robust, easy to use templates for creating rules

Meeting Demand

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

- Comprehensive pre-trade rule-checking and other proactive controls
- Post-trade portfolio monitoring to ensure compliance and manage passive breaches when they occur
- Easier preparation for regulatory examinations by replacing manual, ad hoc practices with automated processes
- An automated audit trail to see which rules were applied, when, and by whom
- The ability to demonstrate compliance through the use of a credible and consistent solution
- Integration with SS&C Advent's trading and portfolio accounting platforms to improve workflow efficiency and minimize manual intervention.

Key Features

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

Compliance Dashboard. A complete view into relevant compliance activity, updating you on any ongoing issues or changes in rules.

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

Pre-Trade Compliance. Know when a trade you are about to make falls outside client mandates or firm guidelines—before you make it.

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 portfolios have been affected.

Issue Tracking. When a rule failure or breach 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 users to easily defer a violation until a future date or a specific threshold is reached.

Secondary Approval. If compliance team approvals are required, automated email notifications can be sent to compliance. These notifications can also be displayed and acted upon on the main dashboard.

Audit History. See how rules and assignments are changed or applied, when and by whom, to provide a complete view into the lifecycle of a rule.

RM Rule Alert (8 exceptions)							
<input type="checkbox"/> Override Exclude Request Comment All Exceptions							
Severity	Exception	Portfolio	Actual	Action	Reason	Comments	
<input checked="" type="checkbox"/> Soft Restriction	Equity Asset Class Limits - Equity above by 8.326 %	usbal_c	58.326	Override	Client Approved	Client approved limit exception	
<input checked="" type="checkbox"/> Soft Restriction	Equity Asset Class Limits - Equity above by 33.010 %	usbal_d	58.010	Override	Client Approved	Client approved limit exception	
<input checked="" type="checkbox"/> Restriction	Approved Buy List of Large Cap Securities - Cannot Buy Security csus PFE	para20		Exclude	None	Cannot Trade/Remove from Strategy	
<input checked="" type="checkbox"/> Restriction	Approved Buy List of Large Cap Securities - Cannot Buy Security csus PFE	para30		Exclude	None	Cannot Trade/Remove from Strategy	
<input checked="" type="checkbox"/> Restriction	Approved Buy List of Large Cap Securities - Cannot Buy Security csus PFE	para50		Exclude	None	Cannot Trade/Remove from Strategy	
<input checked="" type="checkbox"/> Restriction	- Equity above by 8.683 %	usbal_a	58.683	Request Override	See Comment	Request Compliance Team Approval	
<input checked="" type="checkbox"/> Restriction	- Equity above by 8.896 %	usbal_b	58.896	Request Override	See Comment	Request Compliance Team Approval	
<input checked="" type="checkbox"/> Restriction	- Equity above by 8.326 %	usbal_c	58.326	Request Override	See Comment	Request Compliance Team Approval	

OK Cancel

Know if order proposals fall outside guidelines—before you trade

ADVENT RULES MANAGER

Home > Review > Post Trade Results

Post Trade Results

Show Filters View: Exception Summary APPLY Show Summary Show Details RUN RULE CHECK

ACTIONS 1200 results

	Portfolio	Rule Name	Rule Check Type	Date	Status	Severity	Dimension	Member	Measure	Actual	Low Limit	Low Warn	High Warn	High Limit
	fis901eg0001	S&P Issuer Average Portfolio > A	Daily Scheduled	7/18/2022	Fail	Restriction	Portfolio	fis901eg0001	Avg S & P Issuer Rating	D	A			
	abrom	Min 8% Cash Buffer	Daily Scheduled	7/18/2022	Fail	Soft Restriction	SecType	Cash	MarketValue %	6.341	8.000	7.000		
	usbal_a	Equity Asset Class Limits	Daily Scheduled	7/18/2022	Fail	Soft Restriction	AssetClass	Equity	MarketValue %	55.433	75.000	80.000	85.000	100.000
	usfix2	Duration Limits	Daily Scheduled	7/18/2022	Fail	Restriction	Portfolio	usfix2	Avg Modified Duration	5.348	6.000	6.500	11.500	12.000
	mc_gen556677bal	MC Min 50K Cash	Daily Scheduled	7/18/2022	Fail	Restriction	AssetClass	Cash	MarketValue	0	50,000	55,000		
	agga	Risk Country Min Max 5 - 15%	Daily Scheduled	7/18/2022	Fail	Restriction	RiskCountry	United States	MarketValue %	100.000	5.000	6.000	14.000	15.000
	highsmith	Min 5% Cash Buffer	Daily Scheduled	7/18/2022	Fail	Restriction	Security	caus moxycash	MarketValue %	3.414	5.000			
	btg_eq	Profile 1: Cash Buffer 25,000	Daily Scheduled	7/18/2022	Fail	Soft Restriction	AssetClass	Cash	MarketValue	0	45,000	50,000		
	websteroth	Minimum 30-100 Securities	Daily Scheduled	7/18/2022	Fail	Restriction	All		CountOfSecurity	11	30	32	99	100
	globeq	Minimum 30-100 Securities	Daily Scheduled	7/18/2022	Fail	Restriction	All		CountOfSecurity	21	30	32	99	100
	furn	Minimum 25 securities	Daily Scheduled	7/18/2022	Fail	Restriction	All		CountOfSecurity	23	25	30		
	usbal_c	Equity Asset Class Limits	Daily Scheduled	7/18/2022	Fail	Soft Restriction	AssetClass	Equity	MarketValue %	55.076	20.000	25.000	45.000	50.000
	global1	Brazil Min 2% of Portolio	Daily Scheduled	7/18/2022	Fail	Restriction	RiskCountry	Brazil	MarketValue %	0.000	2.000			
	global5	1.5% Max Financials	Daily Scheduled	7/18/2022	Fail	Soft Restriction	Sector	FINANCIALS	MarketValue %	5.912	1.250			1.500
	portfolioa	Cash Buffer Property Set	Daily Scheduled	7/18/2022	Fail	Restriction	All		MarketValue %	100.000	1.000	1.500		10.000

Showing 25 results per page (1200 results) Page 1 of 48

Run your library of checks daily, or on an ad-hoc basis, to catch passive breaches caused by market movements. And track how these off-sides are being addressed

Benefits for Your Front and Back Office

The benefits of Advent Rules manager extend across the firm:

- Traders can trade with confidence that Advent Rules Manager is checking for restrictions.
- Portfolio managers can easily verify that portfolio holdings are in line with investment guidelines, and make adjustments as needed.
- Client service and marketing representatives can confidently address due diligence questions.
- Executives can focus on growing the business with peace of mind that the firm is ready for client questions and a regulatory exam.

Proven to Perform

Like all SS&C Advent solutions, Advent Rules Manager is the result of an in-depth understanding of the investment management business and what it takes to succeed today. For many firms that face similar challenges to yours, Advent Rules Manager has proven to:

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

As the pace and complexity of the investment business accelerate, don't let compliance slow you down. Advent Rules Manager sets you up for success, enabling you to turn your compliance practices into an asset.

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

About SS&C Advent

SS&C Advent helps over 4,300 investment firms in more than 50 countries to grow their businesses, minimize risk, and thrive. We have been delivering unparalleled precision and ahead-of-the curve solutions for more than 30 years, working together with our clients to help shape the future of investment management. To learn more about the right solutions and services for you, contact your SS&C Advent representative or email info@advent.com.

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