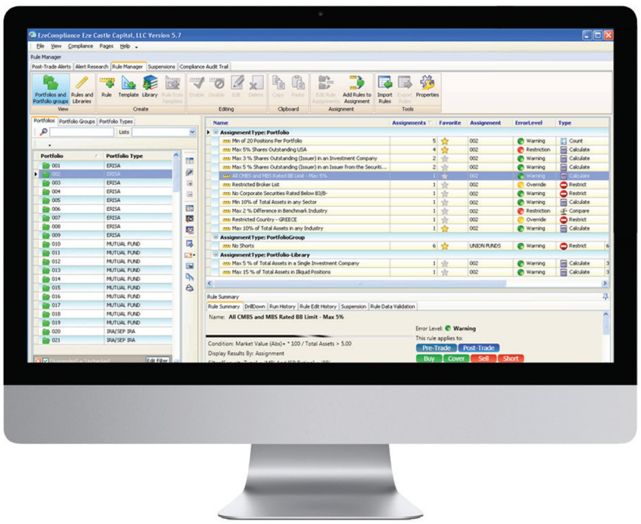
SS&C Eze

Eze Compliance

Eze Compliance seamlessly integrates pre-, intra-, and post-trade compliance checks and monitoring into the trading process to ensure that your firm is managing its trade and portfolio compliance at all times. Compliance's flexible, configurable features help you address increased regulation and heightened scrutiny from your investors. Additionally, Compliance can help you automate compliance checks that would otherwise be done manually, saving your firm valuable resources.



Key Benefits

- Management of firm-wide restrictions, corporate actions, and beneficial ownership rules
- Compliance checks at any level - security, portfolio, portfolio group, strategy, or asset class
- Flexible rule creation, assignment and management
- Hundreds of industry-standard rule types and regulation libraries
- Automated compliance checks at any point in the trade lifecycle
- Diagnostic checks to ensure data integrity
- Multi-currency, multi-instrument functionality

Real-Time Integrated Pre-Trade & Post-Trade Compliance

Pre-Trade Compliance

- Monitor your firm's trade and portfolio compliance at trade entry using real-time prices and holdings.
- Run automated intra-trade compliance checks at any point in the trade lifecycle.
- Automatically notify users when an order is in violation.

Post-Trade Compliance

- Schedule post-trade compliance checks to run at multiple times during the day for different sets of portfolios and regions.
- Run compliance checks against real-time prices and holdings to immediately assess the impact of events such as corporate actions, market creep, and changes to reference data.
- Automatically notify the compliance officer of rule violations through multiple notification types including the Compliance Officer's Blotter, email alerts, and more.

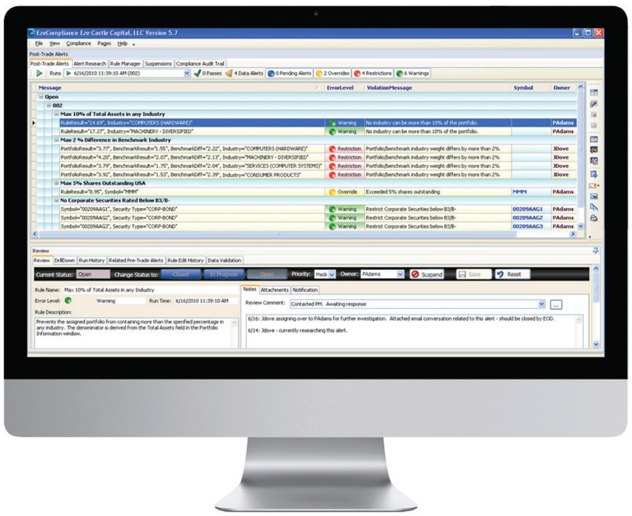
Comprehensive Rule Libraries & Flexible Rule Management

Rule Creation & Rule Libraries

- Jumpstart your implementation with hundreds of templates for industry-standard rule libraries (UCITS IV) and rule types (beneficial ownership, restriction, requirement, concentration, exposure, cash, benchmark).
- Create rules for both pre- and post-trade checks using our easy-to-use rule builder.
- Build lists of items (symbols, brokers, countries, security types, etc.) and use them in multiple rules.
- Designate a violation level for each rule (Warning, Override, Pending, and Restriction).
- Set up regulatory filing schedules with multiple violation level thresholds.

Rule Assignment & Management

- Assign rules to portfolios, portfolio groups, and portfolio types in a single screen.
- View all existing rules and assignments from a single screen with customised views.
- Maintain a single rule that can be assigned to multiple portfolios - no need to create duplicate rules.



Flexible Reporting, Alert & Data Management, & Research

Reporting & Audit Trail

- View a complete audit trail of all trade and compliance history including changes to rules and assignments.
- Utilise a built-in suite of configurable reports.
- Automatically generate and distribute reports to team members.

Alert Management & Research

- Research and manage pre- and post-trade alerts from a single screen.
- Add comments to alerts and attach documents.
- Assign alerts to other compliance users, including notification via email.
- Organise alerts based on status (Open, Closed, In Progress).
- Drill down into positions that contribute to an alert.
- Silence alerts until user-defined criteria are met.

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