Advent Lumis®

Streamlined Data Governance, Quality Assurance, and Operational Transparency

Data governance has become a key practice for asset management firms and service providers across all market segments.

Investor and regulatory scrutiny on data management and operational processes is more rigorous than ever. The implementation of a data management and operational oversight solution has gone from a "nice to have" to a necessary requirement as firms are confronted with increased pressure to be more transparent. Substandard data quality is a drag on efficiency and poses operational risks. Many firms are dealing with large volumes of complex data being received into their systems from numerous data sources. As a result, ensuring data integrity and implementing data oversight has become an overwhelming task and increasingly difficult to control.

Fortunately, firms using SS&C Advent’s Geneva platform now have the ability to leverage their operational workflow processes and data quality control with Lumis, SS&C Advent’s data governance solution.

advent.com | info@advent.com
Why Advent Lumis

Automated Data Oversight
Advent Lumis facilitates the organization’s ability to implement a comprehensive data governance program. It allows firms to understand how people are using data, monitor the data quality, automate and oversee the workflows required to manage the data, and dramatically reduce the time and effort required to identify and resolve exceptions. By eliminating manual data quality reviews, Lumis reduces operational risks while freeing operations teams to focus on more value-added functions and revenue-generating activities.

Leveraging artificial intelligence
Advent Lumis puts AI into action to help sort through massive volumes of data. Advanced machine learning features assist users when confronting issues caused by poor or inconsistent data. The system is designed to “train” itself to know what actions the user should take to streamline the break resolution workflow, based on comprehensive analysis of historical user actions in similar scenarios. Lumis arms you with computer generated suggestions for prioritizing compliance breaks, and prompts you with recommendations on the next actions that should be taken to manage and resolve data issues.

Simplified task management and operations workflows
Leverage streamlined day-over-day or period-over-period workflow enhancements including tracking and alerting when running late or close to a deadline, maker/checker oversight on user tasks, and workflow steps and dependencies showing the required sequence of steps to complete a task. Advent Lumis provides a number of tools to simplify the creation and execution of tasks associated with data governance.

KEY FEATURES AND BENEFITS

Systemic data checks and compliance rules
Assure data quality through consistent, workflow-based processes for data examination, repair, and resolution

Artificial intelligence and machine learning-enabled resolution workflows
Accelerate process with automated prioritizing of issues and computer-generated action prompts

Data staging
Review data for accuracy before its processed into Geneva or other SQL based solutions

Flexible three-way approval workflows
Reduce risk of errors with built-in controls

Real-time analytics
Analyze root causes of issues, critical operations KPIs and metrics, and data quality trends

SLA compliance support
Meet SLAs and avoid exposure to penalties and reputational risk

Status monitoring across teams, processes and workflows
Monitor the status of your operational team’s exception handling and resolution priorities

Document management and audit trail
Implement case management workflows and track the exception lifecycle

Email notification support
Receive timely exception workflow notifications and status updates

Seamless integration with Geneva
Embedded within the Geneva user interface as a menu option for a streamlined, unified user experience
Lumis Dashboard

Through a series of intuitive, user friendly dashboards you are now able to monitor and view the status of all your critical operations. This main dashboard is your central location to access your portfolios, status, checks, exception, manager, analytics, monitoring, to do list, and file importer.

Exception management

Designed to be the primary home page for the front end user and configured to align with your data assurance process, the exceptions dashboard provide transparency into the exception management process, with supporting information to expedite data exception review, reconciliation, and remediation.
File Import

The principle of maker/checker (or “four eyes”) is that, for strict control and oversight, at least two people need to be involved in the completion of any transaction, typically one who creates it and one who confirms or authorizes it. Lumis helps you put this principle into practice, allowing you to stage data and apply maker/checker oversight workflows before importing and processing the data into Geneva or any other SQL or Oracle based solution, so that data has been validated by the time it enters the accounting system.

Import Summary

<table>
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<tr>
<th>File ID</th>
<th>File Name</th>
<th>Activity</th>
<th>Start Time</th>
<th>Record Review Records</th>
<th>Total Records</th>
<th>Receipt Status</th>
<th>Record Review Progress</th>
<th>Total Progress</th>
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</table>

7 Primary Review  3 Secondary Review  2 Importing  0 Done

To Do List

The To Do List dashboard enables users and managers to see the status of each task created and take action, while the “Hierarchy View” provides summary views across numerous workflows and checklists with drill through capabilities.

PC Daily NAV

<table>
<thead>
<tr>
<th>ID</th>
<th>Owner</th>
<th>Item Type</th>
<th>Name</th>
<th>Created On</th>
<th>Status</th>
<th>Assigns</th>
<th>Priority</th>
<th>Start Date</th>
<th>Due Date</th>
<th>Open Steps</th>
<th>Closed Steps</th>
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<tbody>
<tr>
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<td>Workflow</td>
<td>Lumis Day in the Life</td>
<td>05/13/2020 14:20:00</td>
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<td>High</td>
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<td>1</td>
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</table>
Configuration

Designed with the user experience in mind, Lumis provides maximum flexibility across various settings when establishing data sources, compliance rules, workflow options and permission. The open API and state-of-the-art technology can be easily configured to fit your needs and streamline efficiencies over your data management and operational oversight process.
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Rules
Advent Lumis makes it easy to establish your firm’s own compliance and data oversight rules. Intuitive drag and drop data capabilities and easy-to-use syntax, formulas and operators enable you to design any rules your firm requires. What’s more, the Lumis open API allows users to more easily write compliance rules against a breadth of commonly used data sources such as Geneva RSL, custom Geneva data browser reports, and any SQL Server-based or Oracle database solution within your infrastructure.
Workflow Designer

Business users can build custom steps or tasks, incorporate them as a part of a new or existing checklist workflow, and tag them with various states for automated tracking and status monitoring.

Transformative Technologies

With its configurable platform and modern UI design, Advent Lumis operates on the latest cutting-edge technologies allowing users to customize the product to support their specific requirements. It employs a web based front end and is powered by Microsoft web services and SQL server. Lumis scales through a proprietary load balancer and in-memory cache designed to support high volumes and high numbers of concurrent users.
ABOUT SS&C ADVENT

SS&C Advent helps over 4,300 investment firms in more than 50 countries—from established global institutions to small start-up practices—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.

For more information on Advent Lumis and data governance for your organization, email advent@sscinc.com.