

PRODUCT BRIEF

Compliance Oversight

Solving the regulatory challenge

Running a compliant firm doesn't have to be complicated or overwhelming. Through the Black Diamond® Wealth Platform, you gain access to tools and services that help you effectively meet your regulatory requirements and uphold your own compliance initiatives.

Data at your fingertips

Forget tedious and manual data searches. The *Data Mining* application gives you instant and accurate access to the historical data you need. From a specified point of time, you can easily extract any of the over 200 data points from the platform including AUM, positions, transactions, and benchmarks—all in an SEC and FINRA friendly format.

The application also comes equipped with a complete library of prebuilt templates, including *13F Asset Data*, *Trade Blotter*, *AUM by Relationship Type*, *AUM by Asset Type*, *Daily Reconciliation Exceptions*, and more. And, the user-friendly design makes customizing existing query templates or creating and saving new ones straightforward and simple.

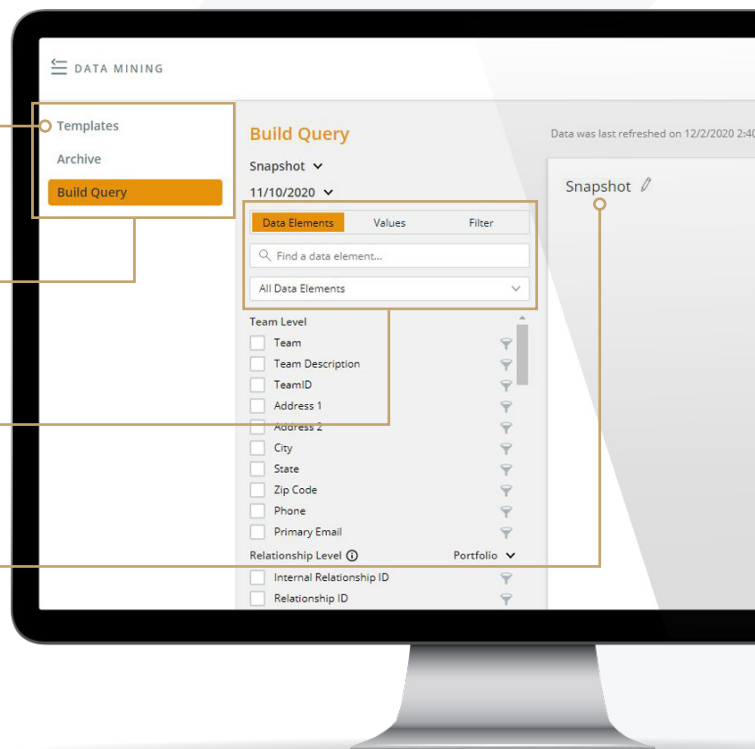
To help keep the entire team accountable, a comprehensive and searchable archive enables you to access a record of past data pulls. This includes all details related to a data pull such as who created the query and when it was run.

Categorize user templates that your service representative can customize on your behalf

Quickly navigate the system through the intuitive user interface

Refine your search by applying various data elements and filters

Customization allows you to name and save queries for quick identification



Run and share—automatically

With the ability to schedule *Data Mining* templates, you eliminate repetitive manual work and can effortlessly share results with other users at your firm. For optimal organization, you can designate any folder within your *Document Vault* for the output to land. Upon completion, all with access are notified—keeping all essential parties informed.

Data Mining templates can be scheduled for any specified time—daily, weekly, or monthly—and can be set to automatically run after the morning's reconciliation process is completed. This ensures you always view the most up-to-date information.

A straightforward scheduling workflow allows you to automatically run any system or custom template and indicate where and with whom to share the output.

[BACK TO WORKFLOW LIST](#)

Run Data Mining Template

WORKFLOW STEPS

- Data Mining Template
- 13F Asset Data Template
- Vault Folder
- 13F Files
- Share Recipients
- 2 Recipients
- Schedule and Triggers
- On All Reconciliation Complete
- Summary

GO TO

Data Mining

Data Mining Template

Select your desired Data Mining Template, and enter the required inputs.

General

Source: ☐ User ☒ System ☐ Custom ☐ Compliance

Template: 13F Asset Data

☒ All ☐ Supervised

☐ Exclude Minimum Positions

Format: ☒ XLSX ☐ XML

As of: 11/10/2020

Overrides

As of Date: Last Business Day

Proactively detect anomalies

Quickly identify and address outstanding maintenance items that require investigation. Black Diamond is equipped with dashboards and features built specifically with compliance in mind, such as:

Monitor: Here you can quickly identify relationships, accounts, and portfolios missing data and update them accordingly. Additionally, custodial and outside accounts or assets that need maintenance are flagged and provide direct access for correction.

Data Dashboard: This one-stop-shop enables you to analyze, monitor, and even change reconciliation data as you see fit. At a glance, you see reconciliation and cost basis statuses as well as any corporate actions, an overview of custodial exceptions, and potential transaction backdates.

With a single click you can pull audits for external flows exceeding thresholds, and accounts that have had their transactional data adjusted.

Digest: A proactive daily email empowers you to select from a wide-variety of metrics so you only see what is important and relevant to you. For example, the number of stale accounts, accounts without portfolios, and external flows exceeding thresholds are summarized and hyperlinked directly to the area of the platform where they can be managed.

Daily Digest

May 28, 2020

CLIENT SETUP

7	Accounts Without Portfolios
1764	Accounts Without Managers
1573	Accounts Without Styles
1762	Accounts Without Benchmarks
1640	Accounts Without Targets
711	Accounts Without a Sole Owner
813	Accounts Without Owner Type
590	Portfolios Without Portfolio Groups
576	Portfolios Without Benchmarks
402	Portfolios Without Targets
228	Portfolios Without Custom Fields
1764	Accounts Without Relationships

[View Additional Metrics](#)

DATA MANAGEMENT

1 External Flows Exceeding Threshold

[View Additional Metrics](#)

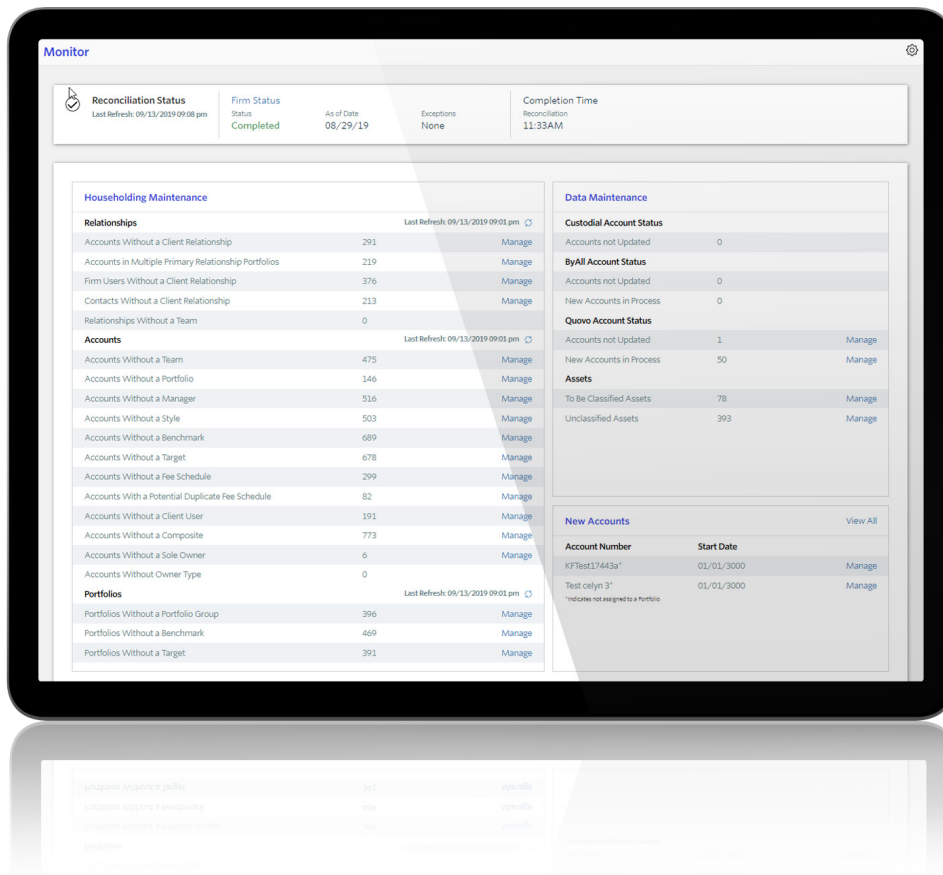
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Maintain permission controls

To help with accountability and record-keeping, a wide variety of parameters and controls can be configured and set. This means you control who can make platform modifications. PDF reports can also be securely extracted each day along with a manifest detailing what reports were run, for which accounts, and whether an alternative investment or manual account was used.

Trade compliance is configurable, as well as custom user-defined fields for securities accounts and households. The wide range of user settings, firm and client reporting preferences, as well as data configurations, allows you to be smart about your due diligence.

Monitor was designed to create efficient workflows for those responsible for compliance management. This dashboard helps you quickly identify and address outstanding maintenance items relevant to your business.



Support that is dedicated to your success

Our exceptional and personalized service model is available to provide support and guidance. It is especially beneficial if your firm is selected for a regulatory audit as the team will help you navigate the request so you can respond in a timely and confident manner.

Your dedicated service team is available to:

- Help you make sense of, and complete, regulatory audit paperwork
- Develop and build *Data Mining* queries or templates for on-demand access
- Configure special requests

Plug in to the open API

For custom needs, Black Diamond has established integrations with leading outside compliance solutions. You can also choose to send choice data queries or reports to a FINRA compliant storage solution, or your firm's data warehouse. Daily market value, holdings, transactions, tax lots, cost basis, performance returns, and more are all available to sync in real-time or in batch, eliminating manual entry and duplicated efforts to save time and ensure data validity.

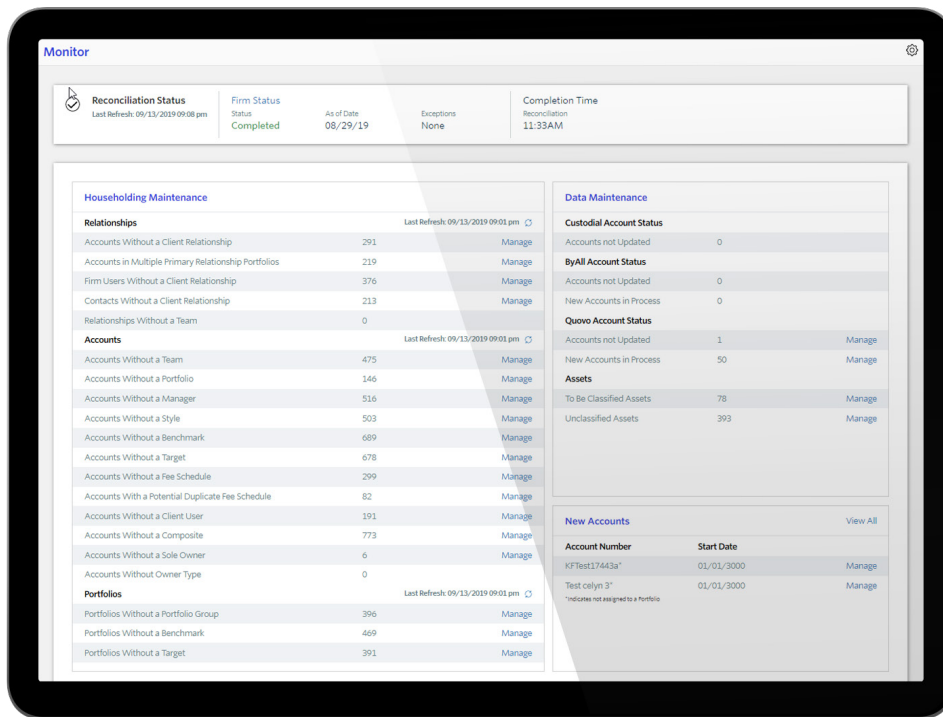
FOR MORE INFORMATION

Black Diamond works as your technology partner by delivering cutting-edge tools backed by a team of experts with deep industry knowledge and experience. If you have questions, or would like to learn how Black Diamond can support your business, call 1-800-727-0605 or email info@advent.com or visit blackdiamond.advent.com to schedule a personalized demo

During a limited scope and mock audit, our firm relied heavily on Black Diamond. The templates within the *Data Mining* tool were very useful for exporting the required historical data. We also depend on them quarterly for AUM and EDGAR reports. But above all, having a service team to back us up is reassuring and has saved us a tremendous amount of time.

— A Black Diamond client

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The Black Diamond® Wealth Platform is an offering of SS&C Advent, a business unit of SS&C Technologies.

An award-winning, cloud-based solution, Black Diamond is designed to meet the complete business needs of wealth management professionals and their clients. Complete with performance reporting, portfolio rebalancing, an immersive client portal, and more, the platform also connects to a vast ecosystem of smart integrations. Proactive, personalized attention from a dedicated service team ensures advisors receive access to an elite combination of technology and service.

Financial management firms of all sizes leverage Black Diamond to streamline operations, deliver business insights, and connect with both prospects and clients to build long-lasting relationships.

For more information, visit blackdiamond.advent.com or contact us at (800) 727-0605 or info@advent.com.

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