

BLACK DIAMOND + RISK & COMPLIANCE INTELLIGENCE PLATFORM

# Delivering Compliance Confidence

**Backed by the power of SS&C Technologies, the Black Diamond® Wealth Platform and the Risk & Compliance Intelligence Platform (RCI) seamlessly connect to provide an accurate and automated oversight experience.**

SS&C's RCI provides firms of all types and sizes a single web-based environment where compliance teams can verify supervisory activities and ensure policies are functional, tracked, and executed consistently. The seamless Black Diamond integration ensures that each day data, such as transactions, orders, account activity, and holdings, are securely transmitted to RCI for automatic and detailed surveillance.

RCI comes equipped with an extensive library of pre-configured and customizable compliance tests to support a firm's mandated requirements to comply with many SEC, FINRA, and USA Patriot/Bank Secrecy Act regulations. For an uncluttered experience and optimal ease of use, firms can select and leverage only the modules that support the functionality needed. Each module is designed to support specific regulatory and supervisory requirements and include:

#### **Employee Trade & Activity Monitoring**

Monitors all employee accounts held at outside financial institutions. The module leverages Black Diamond's connection to a network of hundreds of custodial sources for thorough oversight. Includes comprehensive attestation and reporting plus pre-trade clearance complete with details on outside business activities, gifts, entertainment, as well as political contribution and donation tracking.

#### **Broker-Dealer/Investment Advisor Supervisory**

Supports FINRA and the SEC's broker, advisor, and investor transaction, non-trade, position, and account household surveillance requirements.

#### **Investment Suitability**

Pinpoints client accounts that have drifted from the stated risk and investment objectives in support of the Care Obligation component of Regulation Best Interest (Reg BI). This module also detects investment concentration, diversification, time horizon, and age suitability issues.

#### **Anti-Money Laundering: Watch/Sanctions List & Transaction Monitoring**

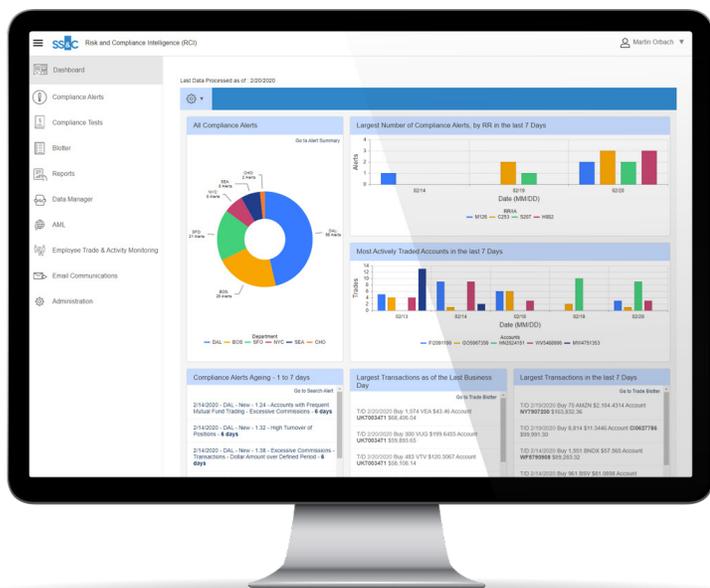
Performs watch and sanctions list screening and analyzes for risk and suspicious activity in compliance with the Bank Secrecy Act/USA Patriot Act and worldwide requirements and regulations.

#### **Senior & Vulnerable Investor Surveillance**

Identifies instances of financial exploitation of elderly or vulnerable investors.

#### **Market Manipulation Surveillance**

Detects market manipulation like spoofing, layering, front-running, and non-beneficial change of ownership in support of Regulation National Market System (Reg NMS) compliance.



**RCI's dashboard provides real-time updates of all supervision and compliance activities within a single-view.**

Black Diamond firms using RCI gain a high value, turnkey compliance solution that comes with the exceptional level of expertise, investment, and support found with the SS&C family of products.

Firms benefit from:

- Accurate and detailed automated surveillance of all transactions, orders, portfolios, and account holdings with alerts that allow further analysis and if necessary, escalation.
- Advanced compliance workflows, efficient case management, searchable and permission-based archiving as well as full audit and key performance reporting capabilities.
- One-view dashboards that display alerts by funds, jurisdiction or business unit, and compliance case status.
- Unlimited access to an extensive library of pre-built compliance tests for out of the box surveillance and detection capabilities at no additional cost. Plus, custom tests can easily be designed, configured, and deployed through an intuitive test builder interface.
- The ability to access, export, and print pre-defined reports with user-driven date ranges and customized content.
- Workflow customization along with time-saving features such as predefined compliance case responses, email integration, compliance case document attaching, and alert aging.
- More time, so compliance personnel can focus on subjective tasks as they escalate and resolve cases.

With the power of Black Diamond and RCI behind you, your firm can have a full-fledged compliance solution that is cost-effective, easy to implement, and dependable.

### About RCI

The Risk & Compliance Intelligence Platform is a web-based account, portfolio, and transaction-monitoring platform specifically designed for compliance teams. It automatically aggregates and analyzes data to support a firm's mandated regulatory or internal oversight initiatives. Alerts, case management, and trade blotter features assist with day-to-day supervisory activities. The extensive and ever-expanding compliance test library provides out of the box surveillance and detection capabilities along with extensive workflow and archiving features. The reliable, easy-to-use, and scalable solution allows for rapid deployment and quick time to value. RCI serves broker-dealers, enterprises, RIAs, and asset management clients around the world.

### About the Black Diamond Wealth Platform

Black Diamond is an award-winning, cloud-based solution designed to meet the complete business needs of wealth management professionals and their clients. The comprehensive platform features performance reporting, portfolio rebalancing, an immersive client portal, communication tools, business intelligence, and so much more—all powered by fully outsourced daily reconciliation and data management services.

Working as the heart of your business, Black Diamond supports productivity-enhancing integrations with third-party solutions for compliance, CRM, portfolio analytics, managed accounts, financial planning, and more. Proactive, personalized attention from a dedicated service team ensures advisors receive access to an elite combination of technology and service.

### FOR MORE INFORMATION

If you have questions or would like to learn more, please call 1-800-727-0605 or email [info@advent.com](mailto:info@advent.com). You can also visit [blackdiamond.advent.com](http://blackdiamond.advent.com).