



Compliance

A central solution for buy-side firms to manage compliance policies with service providers and counterparties

Compliance is a comprehensive due diligence solution that enables buy-side firms to distribute a survey to their service providers and counterparties while simultaneously tracking their responses.

Due to an increase in regulatory requirements, buy-side firms have a growing need to implement a formalised process for assessing counterparty relationships and understanding their business processes.

Compliance allows buy-side firms to manage their counterparty relationships by identifying policies, procedures and attestations in a consolidated environment. Counterparties only need to respond once on behalf of all their relationships, encouraging a timely response for buy-side review.

KEY STATS

3,500+

research providers and venues

87+

compliance questions

10

years activity maintained on system

CUSTOMERS

Asset managers

Hedge funds

Pension funds

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Automated response tracking

Counterparties' responses are tracked in a consolidated environment allowing for timely review.

Historical record

Allows buy-side firms to keep record of counterparties' compliance, research and trading policies.

Dashboard view

In the event of a regulatory review, clients can easily determine the compliance status of their participating counterparties.

Efficient

Counterparties only answer or attest to a survey once for it to be used by all buy-side relationships.

Flexible

Adaptable to changing regulation through annual revisions to survey questions. Customers can easily edit surveys for up to date compliance validation.

Secure

Central storage of internal documents and meeting notes regarding compliance processes for secure use.

Contact records

Maintains contact information and detailed profiles of all the firm's counterparties.

Dashboard

Manage counterparty due diligence process.

Compliance review

Provide profiles and contacts.

Administration

Stored and retrievable documentation and attestation.

Holistic solution

Eliminates the need to maintain an internal process for assessing counterparty relationships, which can be laborious and time consuming.