

'As of' Compliance

A Historical Compliance Solution for Charles River IMS

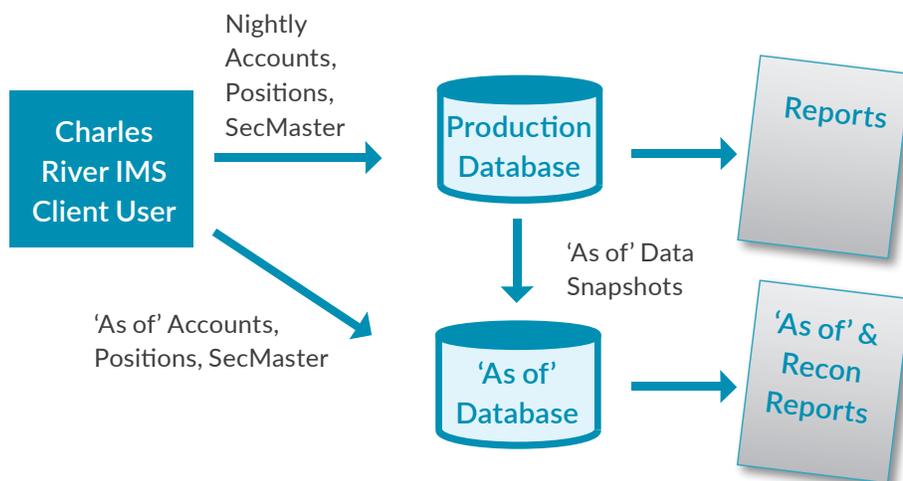
'As of' Compliance goes beyond traditional historical compliance reporting by allowing the user to capture, maintain and manipulate historical data outside of the normal production environment. Charles River's 'As of' Compliance facility helps clients meet regulatory requirements for on-site data storage, provides the ability to interrogate historical data, and supports advanced compliance reporting and analysis capabilities within the Charles River Investment Management Solution (Charles River IMS).

'As of' Compliance enables clients to:

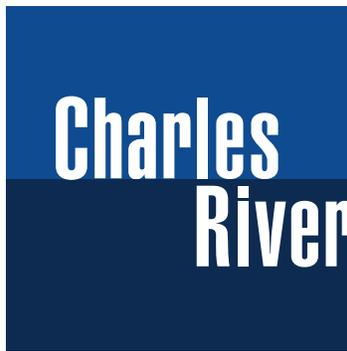
- Capture on-demand or automated (daily, month-end, quarter-end, year-end) snapshots of data
- Meet regulatory storage requirements and business needs through flexible data retention policies and database sizing
- Help ensure accurate month-end reporting by reprocessing data with updated tests, account and security data
- Generate compliance results for specific 'As of' dates
- Analyze "what if" scenarios in a separate sandbox environment
- View violation comments across 'As-of' snapshots
- Trace the history of a particular violation against an account, using an optional trade-date range of violations

Key Capabilities

- Month-end & reconciliation reporting
- Integrated violation history tracking
- Streamlined fulfillment of regulatory requirements
- No impact to production environment
- Compliance Book of Record with full audit trail of all changes
- Accessible via web interface or desktop client



Date-based snapshots of compliance data can be created on-demand or automated via the nightly batch feed. With a separate 'As of' environment, the user can manipulate historical data, re-analyze compliance results, and utilize all existing Charles River IMS compliance monitoring functionality. In addition, snapshots can be compared side by side for further analysis of historical data.



A State Street Company

ABOUT CHARLES RIVER

Investment firms, asset owners, wealth managers, hedge funds and insurers in more than 30 countries rely on Charles River's front and middle office investment management platform to manage more than US\$30 Trillion in assets. Together with State Street's middle and back office capabilities, Charles River's software technology forms the foundation of State Street AlphaSM. The Charles River Investment Management Solution (Charles River IMS) is designed to automate and simplify the institutional investment process across asset classes, from portfolio management and risk analytics through trading and post-trade settlement, with integrated compliance and managed data throughout. Charles River's growing partner ecosystem enables clients to seamlessly access external data and analytics, applications and liquidity venues that support the unique demands of their product and asset class mix. Headquartered in Burlington, Massachusetts, we serve clients globally with more than 975 employees in 11 regional offices. (Statistics as of October 2019)

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