

Charles River Anywhere

Secure, Browser-Based Access to Charles River IMS

Charles River Anywhere helps investment professionals manage and monitor portfolios, compliance, trades and post-trade information in real time. While your entire team can leverage Charles River Anywhere, it's designed for financial advisors, executives, compliance officers and other users requiring more flexible browser-based access to order, trade and compliance data.

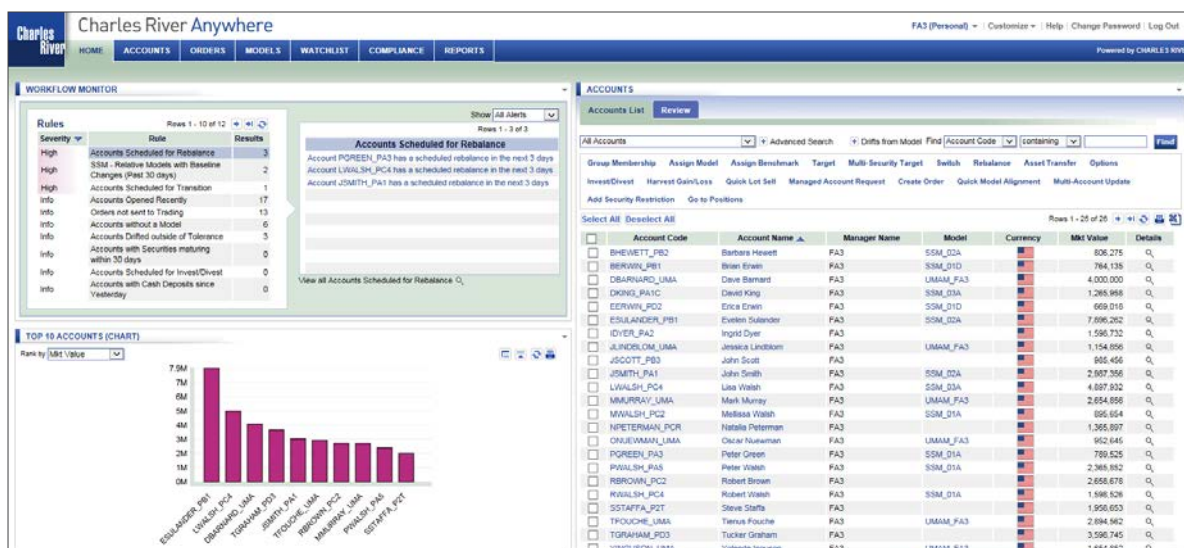
Real-Time Portfolio Management

Firms can more effectively manage and monitor multi-asset portfolios, including Unified and Separately Managed Accounts (UMAs and SMAs), with Charles River Anywhere.

- Monitor portfolio events including cash deposits, portfolio drift, and account openings via notification dashboards
- Create/manage asset allocation, security or UMA models
- Utilize suitability attributes to help ensure that models are appropriate for client risk profiles
- Assess exposure in any available classification scheme including sectors, regions and countries
- View top/bottom 10 holdings based on real-time trade and valuation data
- Submit and track orders through execution
- View account information, including model, benchmark portfolio and manager data
- Filter accounts to view specific security holdings and identify exceptions such as portfolio drift
- Review the effect of proposed orders on a portfolio's exposure profile in real time
- Perform high-volume rebalancing, tax harvesting and targeting
- Schedule recurring invest/raise cash events
- Monitor compliance alerts, warnings and contributing factors, and help resolve compliance issues

Key Capabilities

- Rebalance portfolios to help ensure compliance with model targets
- Implement options strategies across multiple accounts
- Analyze tax impact of proposed orders in portfolios & households
- Monitor & manage:
 - Cash balances
 - Securities in watch lists
 - Pre- & post-execution compliance issues
 - Status of post-trade orders & allocations



Users view the information they want from an easy-to-use, configurable dashboard. Data can be displayed in a number of chart or list formats.

Screenshots are for informative purposes only; no live data being used.

Mobile Device Access

An intuitive dashboard makes it easy to manage accounts, orders, trades, and alerts from the field. Users can access a subset of these functions from any mobile device.



Trading and Order Management

Actively manage the entire order life cycle:

- Create orders and modify order details
- View and modify order details and allocations
- Filter displayed orders using pre-configured queries
- Analyze gain/loss and other impacts of proposed orders across multiple accounts before placing order
- Change layouts for different user roles

Charles River Anywhere

FA3 (Personal) | Customize | Help | Change Password | Log Out

HOME ACCOUNTS ORDERS MODELS WATCHLIST COMPLIANCE REPORTS

ACCOUNTS > WALSH_HH

Info Trading Params Alerts/Warnings Active Orders Review Household Model Model Positions Accounts Top Positions Positions Classified Cash Activity Performance Scheduled Actions

Account Code [WALSH_HH] Retrieve Walsh Household Go to Child Account

Change View Add Security Generate Orders Preview Orders Clear Edit Switch Rebalance Options Invest/Divest Harvest Gain/Loss

Account Group	F	Name	Qty/Par	Cur %	New %	Model %	Target %	Variance	Exp %	Prelim Qty/Par	Transfer Qty	Open Qty/Par	Open Value	Price	Total Value	Exit
Walsh Household		Walsh Household		100.00	100.00	100.00	100.00	0.00	100.00						22,640,551	
Erwin Household		CASH	22.77	16.03	0.00	0.00	0.00	6.03	22.77				(2,774.627)		3,629,296	
Erwin Erwin		US Dollar	3,629,296.13	16.03	0.00	0.00	0.00	6.03	22.77	(1,527,005.59)			(2,774.627)	1.00	3,629,296	
Erica Erwin		INVESTMENTS	77.23	83.97	82.00	82.00	(0.01)	77.23					2,774.627		19,011,253	
Lisa Walsh		Debt	16.36	18.05	25.00	25.00	(6.92)	16.36							4,094,530	
Melissa Walsh		Corporate Bond	16.36	18.08	25.00	25.00	(6.92)	16.36							4,094,530	
Peter Walsh		Equity	60.86	65.88	67.00	67.00	(1.12)	60.86					2,774.627		14,016,723	
Walsh Family Trust UMA		American Depository Receipt	4.87	4.87	4.96	4.96	(0.09)	4.87							1,103,679	
Walsh Family Trust Equity SMA 005 Equity		OIL, GAS & CONSUMABLE FUELS	4.87	4.87	4.96	4.96	(0.09)	4.87							1,103,679	
Walsh Family Trust Equity SMA Equity		Common Stock	55.99	61.01	62.04	62.04	(1.03)	55.99					2,774.627		13,013,044	
Walsh Family Trust FA Managed Debt		AEROSPACE & DEFENSE	3.47	3.47	3.52	3.52	(0.05)	3.47							764,001	
Walsh Family Trust Fixed Income SMA Debt		AIRLINES	2.45	2.45	2.48	2.48	(0.04)	2.45					400,526		554,902	
		Banks	7.05	7.05	7.20	7.20	(0.12)	7.05					499,489		1,002,304	
		Beverages	0.29	0.29	0.30	0.30	(0.01)	0.29							66,655	
		BIOTECHNOLOGY	2.60	2.92	2.97	2.97	(0.05)	2.60							661,249	
		AMGEN INC COM	1.744	1.21	1.32	1.34	1.34	(0.02)	1.21	148			171.13		296,451	
		BIOGEN INC COM	825	0.76	0.76	0.76	0.76	(0.01)	0.76				275.50		173,014	
		CELENOE CORP COM	362		0.14	0.14	0.14	(0.00)		362			82.13		32,195	
		GILEAD SCIENCES INC COM	2,397	0.63	0.70	0.71	0.71	(0.01)	0.63	241			65.74		157,590	
		CAPITAL MARKETS	0.77	0.77	0.76	0.76	(0.01)	0.77					173,704		173,704	
		CONSUMER FINANCE	4.86	4.86	4.84	4.84	(0.02)	4.86					599,739		1,100,501	
		Electronic Equip, Instruments	1.95	1.95	1.99	1.99	(0.03)	1.95							442,175	
		FOOD PRODUCTS	0.44	0.44	0.45	0.45	(0.01)	0.44							86,210	
		INDUSTRIAL CONGLOMERATES			0.70	0.71	0.71	(0.01)							157,962	

Households and accounts can be viewed in detail, categorized and rebalanced in the Positions display.

Compliance Dashboard

Monitor and respond to both pre- and post-trade compliance issues and identify trends:

- Number of outstanding breaches per manager, desk, portfolio or region
- Duration of unresolved compliance breaches
- Top 10 portfolios with alerts and their current status
- Number of breaches across any historical timeframe
- Number of rules in each test category: regulatory rules vs. client mandates vs. manual rules
- Volume of outstanding securities, security attributes or tests causing data exceptions



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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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