

Charles River Compliance Rule Advisory Service

Compliance Best Practices for Charles River Clients

The Charles River Compliance Rule Advisory Service extends the compliance organization to help manage an increasingly complex regulatory environment, meet demands for more stringent risk management, and support growth while managing costs. Charles River's deployment experience across a global client base gives our Compliance Services team a level of knowledge and depth of skills difficult to match and maintain with in-house staff alone.

Charles River's compliance specialists bring deep knowledge of regulatory bodies and processes, and have access to thousands of rules from numerous jurisdictions worldwide. Compliance Rule Advisory Service clients leverage this experience to help ensure that workflows are efficient and rules keep pace with new mandates and specific regulations, including Dodd-Frank, UCITS, ESMA and more.

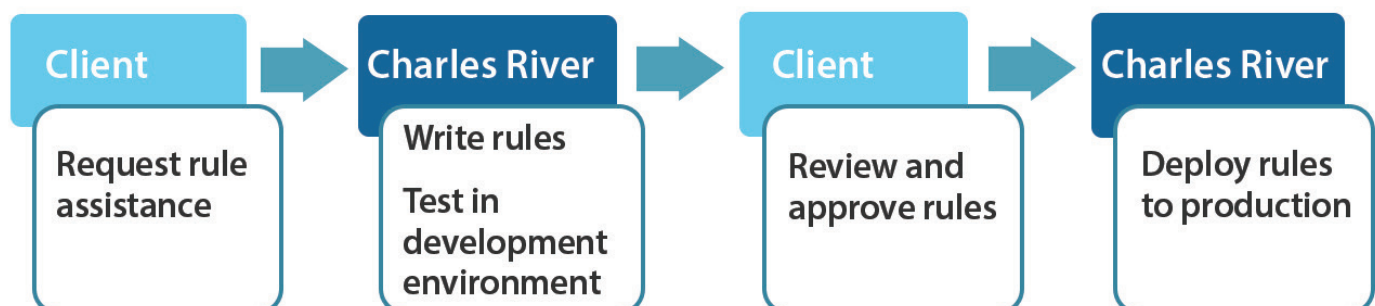
Utilizing Charles River Investment Management Solution's (IMS) compliance software capability and comprehensive rule library, the service provides:

- Creation, testing and implementation of new and advanced rules, such as benchmark comparisons and derivative exposure rules
- On-boarding advice for new accounts and account maintenance
- Recommendations for data sourcing and managing data exceptions
- Rule testing and validation after Charles River software patches and upgrades
- Compliance best practice assessments

Clients adopting the managed service as part of an initial deployment utilize Charles River's extensive rule library as a foundation, augmented by our custom rule expertise. For clients adding the service to an established compliance deployment, Charles River assesses their rules to identify potential issues and opportunities for remediation as necessary.

Key Benefits

- Can reduce risk and cost
- Accommodate acquisitions & geographic expansion
- Leverage rule writing experience
- May reduce internal staffing pressures
- Helps ensure efficient rules for optimal performance
- Streamline compliance processes
- Support new products & asset classes



Charles River works in consultation with clients to fulfill rule writing requests. Clients review and approve all rules prior to production.



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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