

'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



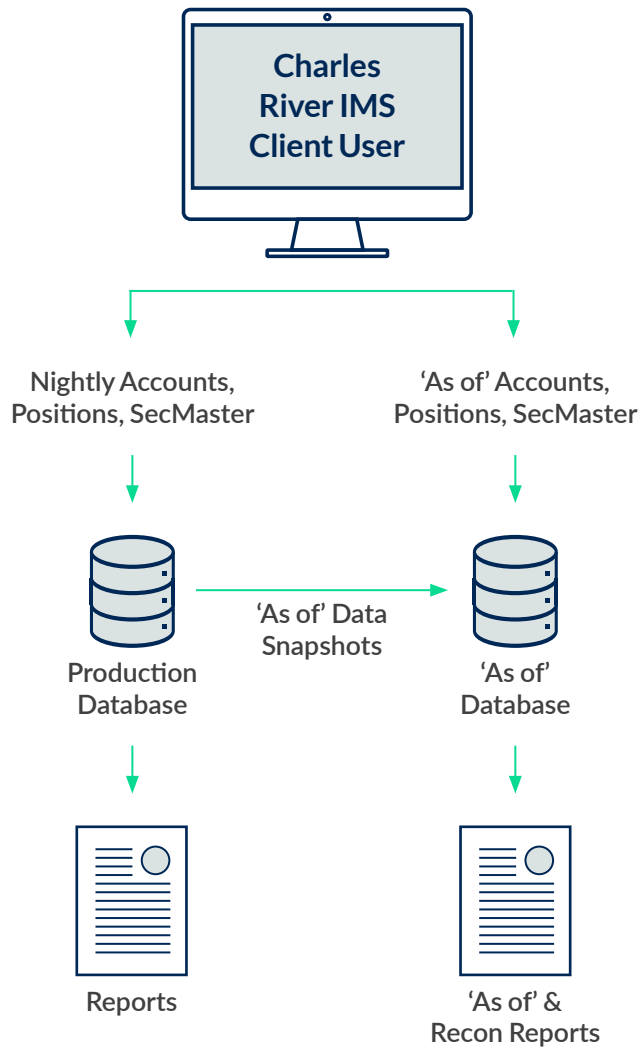
Compliance Book of Record with full audit trail of all changes



Accessible via web interface or desktop client

Date-Based Snapshots

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.



Charles River Development, A State Street Company

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 cloud-deployed software technology forms the foundation of State Street Alpha™. 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 demands of their product and asset class mix. Headquartered in Burlington, Massachusetts, we serve clients globally with more than 1,000 employees in 11 regional offices.

(Statistics as of Q3 2020)

Learn more at crd.com/compliance

Charles River Development - A State Street Company is a wholly owned business of State Street Corporation (incorporated in Massachusetts).

This document and information herein (together, the "Content") is subject to change without notice based on market and other conditions and may not reflect the views of State Street Corporation and its subsidiaries and affiliates ("State Street"). The Content is provided only for general informational, illustrative, and/or marketing purposes, or in connection with exploratory conversations; it does not take into account any client or prospects particular investment or other financial objectives or strategies, nor any client's legal, regulatory, tax or accounting status, nor does it purport to be comprehensive or intended to replace the exercise of a client or prospects own careful independent review regarding any corresponding investment or other financial decision. The Content does not constitute investment research or legal, regulatory, investment, tax or accounting advice and is not an offer or solicitation to buy or sell securities or any other product, nor is it intended to constitute any binding contractual arrangement or commitment by State Street of any kind. The Content provided was prepared and obtained from sources believed to be reliable at the time of preparation, however it is provided "as-is" and State Street makes no guarantee, representation, or warranty of any kind including, without limitation, as to its accuracy, suitability, timeliness, merchantability, fitness for a particular purpose, non-infringement of third-party rights, or otherwise. State Street disclaims all liability, whether arising in contract, tort or otherwise, for any claims, losses, liabilities, damages (including direct, indirect, special or consequential), expenses or costs arising from or connected with the Content. The Content is not intended for retail clients or for distribution to, and may not be relied upon by, any person or entity in any jurisdiction or country where such distribution or use would be contrary to applicable law or regulation. The Content provided may contain certain statements that could be deemed forward-looking statements; any such statements or forecasted information are not guarantees or reliable indicators for future performance and actual results or developments may differ materially from those depicted or projected. Past performance is no guarantee of future results. No permission is granted to reprint, sell, copy, distribute, or modify the Content in any form or by any means without the prior written consent of State Street.

The offer or sale of any of these products and services in your jurisdiction is subject to the receipt by State Street of such internal and external approvals as it deems necessary in its sole discretion. Please contact your sales representative for further information.

©2020 STATE STREET CORPORATION