

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. Our compliance specialists bring a depth of technical expertise and breadth of compliance knowledge difficult to match and maintain with in-house staff alone.

Supports Your Compliance Organization

The [Compliance Rule Advisory Service](#) aims to reduce administrative and cost burdens on firms' compliance departments. The team's extensive knowledge of the Charles River Investment Management Solution ([Charles River IMS](#)), as well as their investment compliance experience, provides an ongoing value-add service which clients can utilize in the event of a new product launch, regulatory changes, or changes in investment mandates.

Key Benefits

- Help ensure accurate and up to date compliance monitoring
- Assist in coding of new fund launches
- Stay current with regulatory changes
- Support new products and asset classes
- Facilitate geographic expansion
- Leverage best practice compliance expertise
- Designed to reduce internal staffing pressures
- Help ensure efficient rules for optimal performance
- Streamline compliance processes

We aim to deliver the following business outcomes:



**Maximum coverage
and automation for
investment compliance
restrictions**



**Refined compliance
processes and
workflows**



**Charles River's
best practice rule
categorization and
coding**

Compliance Rule Advisory Process

Once a client has selected the Compliance Rule Advisory Service, our compliance professionals consult with each client to code and implement their existing rules into Charles River IMS:

1. Rule Library Review:

Review and write rules for investment mandates and regulatory requirements

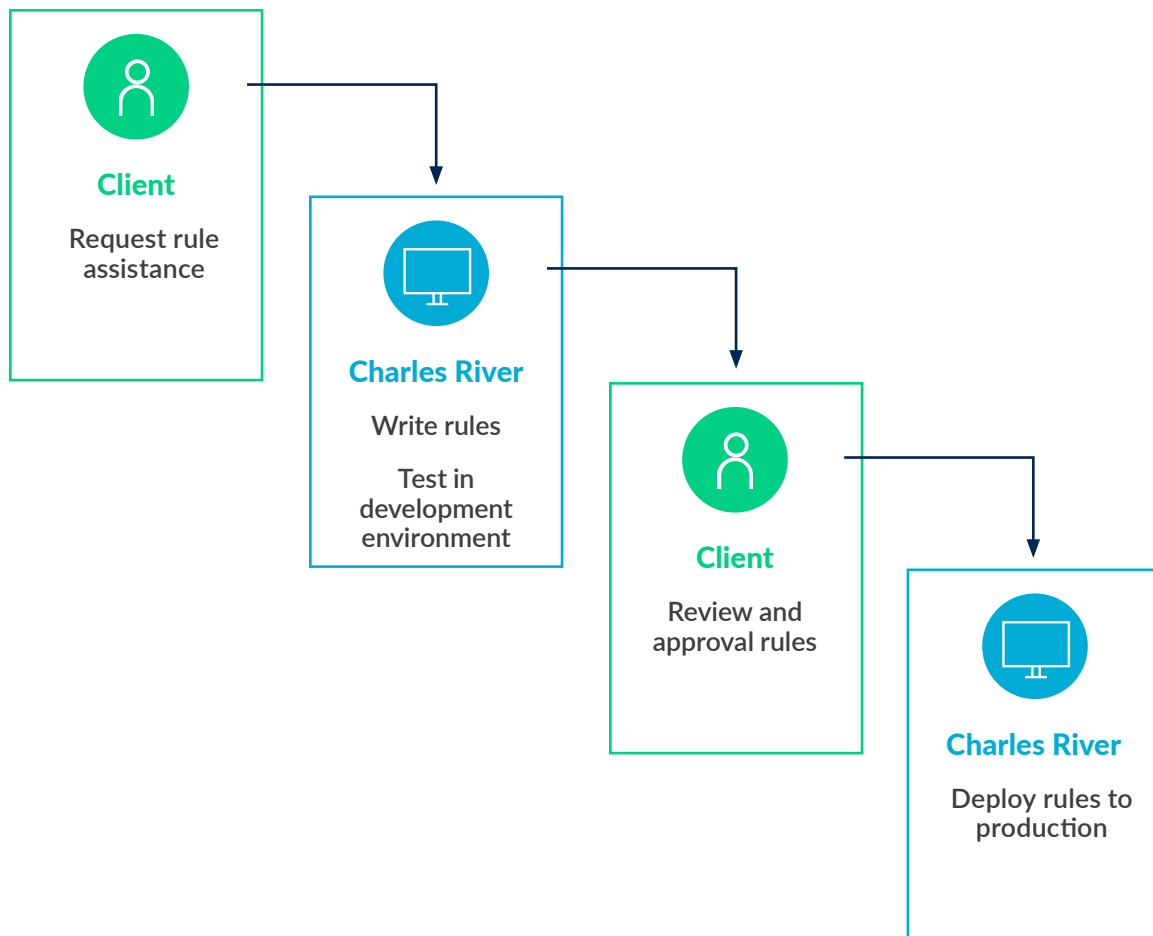
2. Test:

Rule testing and validation initially and after Charles River IMS upgrades where requested

3. Document:

Any changes to a client's rule library are submitted to the client for review and documented upon approval.

Our compliance professionals provide ongoing advisory support, including best practice assessments, and recommendations for data sourcing and managing data exceptions.



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 nearly US\$48 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 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 demands of their product and asset class mix. Headquartered in Burlington, Massachusetts, we serve clients globally with more than 1,250 employees in 11 regional offices. (Statistics as of Q4 2022)

Learn more at crd.com/compliance

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