



Charles River Compliance

Stay compliant at scale

Charles River helps firms protect their revenue and reputation. **Charles River Compliance** is the regulation technology that helps investment managers meet their legal and fiduciary obligations during the investment process. Manage compliance, internal guidelines, and client specific mandates by embedding the rule writing and testing process into an agile architecture built to align with investors.

Harmonize investments with obligations

Avoid cost and brand damage by staying compliant while building multi-asset portfolios and executing trades, and prove it with an audit trail.

Images for illustrative purpose only; no live data being used.

Centralize Compliance Rules

Fragmented, inconsistent rule management is a risk. Eliminate that risk on a rules-based system and quickly create, edit, test, import and export rules.

Get started fast with a rich sample rule library and rule writing service offering.

Or offload to in-house experts in our rule writing service.

Easily Identify Breach Impact

Assessing the impact of a compliance violation is a moving target. Monitor compliance throughout the trade lifecycle to ensure rules are not broken.

Quickly evaluate a strategy's compliance to benchmark, and ease regulatory reporting with a fully auditable system.

Research and resolve alerts quickly on a dedicated compliance workspace with intuitive dashboards.

Front to Back Platform

Separate systems break, but regulators don't care. Confidently lower regulatory risk with compliance across the investment process. Our multi-asset investment management platform combines compliance with:

- ✓ Portfolio management system
- ✓ Performance & risk analytics
- ✓ Order and execution management
- ✓ IBOR
- ✓ Post-trade management
- ✓ Data management

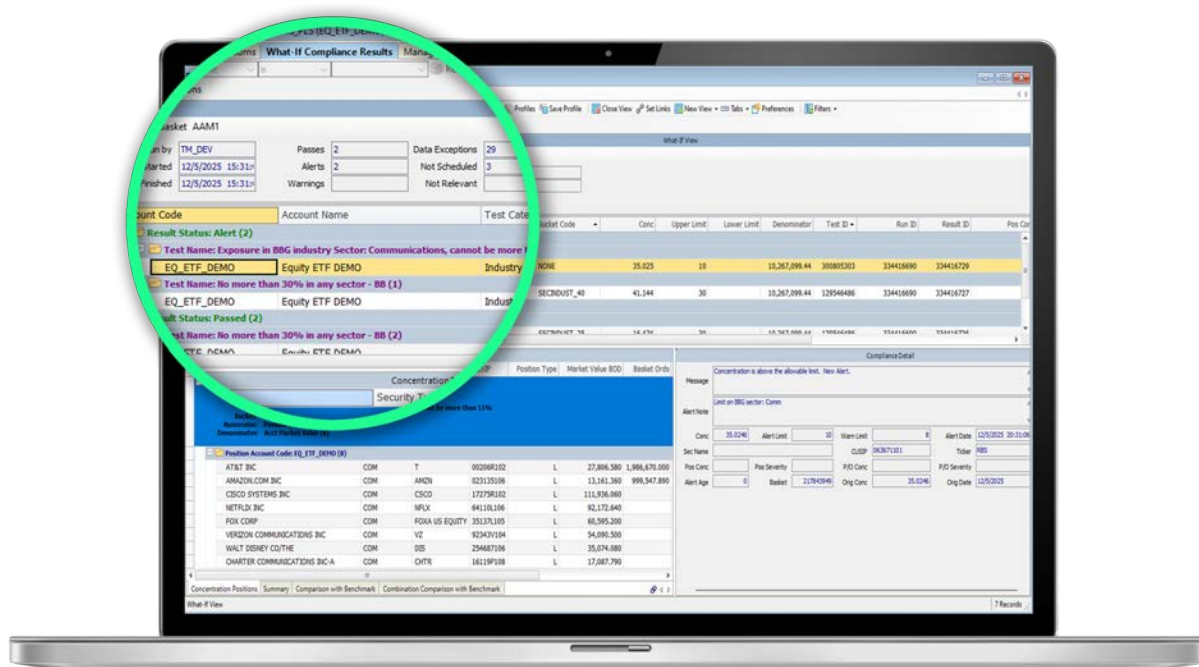
Stay compliant every step of the way.

Align with internal & external requirements

Compliance is not a one-time event. Test throughout the investment lifecycle. Level set at start of day, validate ideas, test throughout the trading process, and assess historical workflows. Streamline compliance across the investment process with sophisticated regulation technology that was uniquely designed to keep up with intricate regulations and requirements. And supplement Charles River technology with a robust suite of compliance service offerings from our in-house experts.



Discover the difference with Charles River. Schedule your demo today.



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Lifecycle Support

- ✓ Pre-Trade
- ✓ In-Trade
- ✓ Placement
- ✓ Post-Trade
- ✓ Portfolio (Batch)
- ✓ As Of Portfolio Compliance
- ✓ What-if Compliance
- ✓ Future Position Limits
- ✓ Historical Compliance (via data platform)

Rule Library

- ✓ 2,000+ sample rules
- ✓ Combination of regulatory and client supplied
- ✓ Versatile, intuitive UI for rule construction

Workflow Notification

- ✓ Workflow monitor
- ✓ Real-time pop ups, emails, text message
- ✓ Integrated across the investment process

Reporting

- ✓ Drill-down capability
- ✓ 100+ compliance related reports
- ✓ Global Shareholding Disclosure
- ✓ Query compliance issues

Services

- ✓ MiFID II reporting infrastructure
- ✓ Capturing and reporting trade & transaction reports



\$1T

A top Global Asset Manager improved scale and reduced costs by retiring legacy systems and aligning \$1T+ AUM on Charles River

300

Approximately 300 investment managers across 30 countries around the world use Charles River to stay compliant.

27

A top global asset manager centralized their entire investment process on Charles River, retiring & decommissioning 27 legacy systems.



Discover the difference with Charles River. Schedule your demo today.

Charles River Development, A State Street Company

Investment and wealth managers, asset owners and insurers in ~30 countries rely on Charles River IMS to manage USD \$59 Trillion in assets. Together with State Street's middle and back office services, Charles River's cloud-based front office technology forms the foundation of State Street Alpha®.

Charles River IMS helps automate and simplify the 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 for Private Markets helps solve complex data challenges for investors in private credit, real estate, private equity, and infrastructure. Charles River's partner ecosystem enables clients to access the data, analytics, application and liquidity providers that support their product and asset class mix. With more than 185% increase in headcount over the last 8 years, Charles River serves clients globally offering 24/7 support. To learn more visit www.crd.com.

**Statistics as of Q4 2025. Assets are inclusive of clients using the platform for purposes of secondary compliance.*

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