

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.

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

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.



We aim to deliver the following business outcomes:



Maximum coverage and automation for investment compliance restrictions



Refined compliance processes and workflows



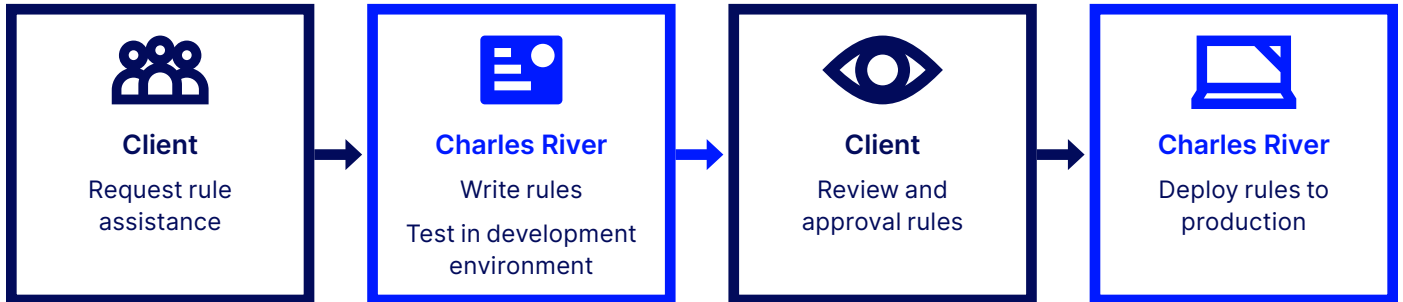
Charles River's best practice rule categorization and coding

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.



 **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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