



## INVESTMENT MANAGEMENT SOLUTIONS

### MONITOR & MANAGE

- Deployed at the world's largest global institutions and custodians
- Firm-wide, regulatory, prospectus, and client-directed restrictions
- Real time pre and post-trade compliance monitoring
- Client configurable breach management workflow
- Comprehensive audit trails
- Counterparty exposure monitoring
- Look-through capabilities on funds and derivatives
- Benchmark correlation
- Fully deployed, ASP or facilities management installations
- Multi-currency
- Multi-site support
- Extensive rule library
- Flexible rule building wizards
- "What If" testing
- Multi-level overrides
- Batch and ad hoc executions

### FAST. GLOBAL. SECURE.

Whether you are a global powerhouse or a regional money manager Linedata has the solution for your compliance needs. Our scalable N-tier architecture and hosted ASP offering make Linedata Compliance ideal for asset managers, hedge funds, wealth managers, fund administrators, and custodians of any size. The system is available as an integrated solution with other Linedata solutions including **Linedata LongView** Trading and **Linedata Mfact**, as a stand-alone compliance product or integrated with existing front and back office systems.

**Linedata Compliance** is a global, enterprise-wide compliance monitoring and breach management solution that focuses on simplifying the complex business requirements and workflows of portfolio managers, traders and compliance officers. The robust, real-time system offers advanced pre- and post-trade compliance checking, comprehensive monitoring and flexible reporting capabilities across all markets, regulatory agencies, and asset types. **Linedata Compliance** also provides comprehensive monitoring of investment restrictions including client, firm, prospectus, and regulatory mandates and meets the most stringent audit trail requirements.

### COMPLIANCE MONITORING

**Linedata Compliance** is the preferred system for many of the world's largest asset managers and service providers providing compliance monitoring at multiple sites around the globe using a single instance. Built on an advanced .NET platform, **Linedata Compliance** delivers comprehensive, fast, integrated compliance monitoring across all assets, markets, and locations. The robust platform filters through massive amounts of data to provide the information required to manage all regulatory and operational risk-monitoring needs.

Regardless of complexity, the system is highly scalable, to handle your firm's specific compliance needs.

# LINEDATA COMPLIANCE



## ABOUT LINEDATA

Linedata is a global solutions provider with 700 clients operating in 50 countries.

With more than 840 employees across the globe, Linedata is dedicated to the investment management and credit community. Linedata has been at the service of the financial industry from day one, and applies its market and client insight to provide innovative and tailored mission-critical software and services that help its clients grow. As a pioneer for over 10 years with the set up of ASP infrastructure for the financial industry, Linedata has preached and spread this model throughout the global financial community, for its full range of products. Headquartered in France, Linedata achieved revenues of EUR 144.5 million in 2009. Linedata is listed on Euronext Paris FR0004156297-LIN - Reuters LDSV.LN - Bloomberg LIN:FP.

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## A LOOK INSIDE

Comprehensive reporting capabilities display results in clean, easy to review reports, highlighting potential problem areas. Dashboard views allow you to review summary level information with drill down navigation into the details. Trend analysis capabilities allow you to look for patterns of suspicious activity and raise red flags. Easy-to-use rule building wizards provide non-technical business users with the ability to create and maintain their own compliance restrictions without having to rely on the IT department.



**Rule Builder**

Please select the type of rule you wish to build:

- [Percentage Concentration](#)  
Builds a rule to check the value of a holdings as a percentage of the portfolio.
- [Exclude All](#)  
Builds a rule to exclude holdings matching the specified criteria.
- [Include Only](#)  
Builds a rule to allow...
- [Bucket Count](#)  
Builds a rule to check...
- [Value Limit](#)  
Builds a rule to check...
- [Weighted Average](#)  
Builds a rule to check...
- [Benchmark](#)  
Builds a rule to compare...

**Percent Concentration Rule**

Rule Name: Max 25% in Corporate Debt  
 Description: The account will invest no more than 25% of total market value in corporate debt securities.

Run Modes:  
 Allow Pre-Trade  Allow Post-Trade

Numerator: Market Value Of All  
 Filter Numerator By: ...

Denominator: Total Market Value Of All  
 Filter Denominator By: ...

Limits:  
 Minimums: % - Error  
 % - Warning

Maximums:  
 23.00 % - Warning  
 25.00 % - Error

Folder Assignment: All Rules

Parameters << < Back Finish Cancel

Active	Name	Context	Type	Default Value
<input type="checkbox"/>	MinError	Min Error	Number	
<input type="checkbox"/>	MinWarning	Min Warning	Number	
<input checked="" type="checkbox"/>	MaxWarning	Max Warning	Number	23.0000
<input checked="" type="checkbox"/>	MaxError	Max Error	Number	25.0000