

# REINFORCE YOUR INVESTMENT COMPLIANCE PROCESS



Ensure  
Compliance



Increase  
Efficiency



Reduce  
Risk

## Is your current Investment Compliance System prepared for the growing challenges of the international regulations and compliance requirements?

The flood of regulations for minimizing investment risks is never-ending. Not just legislation but also contractual and internal guidelines are continually stipulating new restrictions for the investment management. In the opinion of our customers, workflow-driven investment compliance monitoring therefore requires a modern Investment Compliance Solution where rules can be defined easily and quickly, be tested and immediately integrated in productive operations.

In our projects, we increasingly encounter applications that are no longer able to meet the growing demands on compliance and are therefore replaced by the XENTIS Investment Compliance Solution (XENTIS IC).

**XENTIS IC**  
Modular & Integrated  
On-premise or hosted  
XENTIS Investment Compliance as a Service



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## ADD VALUE TO YOUR INVESTMENT COMPLIANCE

### Coverage of the entire investment compliance process

XENTIS IC is a completely integrated one-stop solution: data and rule management, simulation and testing, pre-/post trade compliance check, monitoring-, workflow- and breach-management, reporting, audit, import/export of investment compliance rules.

### Individuality as a standard

XENTIS IC combines the advantages of standardized software with the convenience of an individual solution. By separating the configurable system components from the standard product, changes to e.g. compliance rules, workflows, modelling investment types/asset classes and key figures can be carried out independently of release cycles. Customer-specific settings remains unaffected by software upgrades. An integration into existing system landscapes via standard interfaces is available in every XENTIS IC installation.

### High degree of flexibility and a powerful data structure system

One of the key strengths of XENTIS is the flexibility of its base design. This is particularly evident in the XENTIS IC module, which has to accommodate constantly changing legal and individual customer requirements. In addition, XENTIS IC offers a very flexible data structure allowing the customer to infinitely extend investment rules and maintain data fields (e.g. black/white lists, global or fund/mandate-specific, rating frameworks etc.) without any vendor support.

### Intuitive maintenance and extension of investment rules

- Simple deployment of country rule sets / regulatory updates thanks to the automatic import/export feature
- Definition/setup of rules requires only minimal technical knowledge from users
- Intuitive, context-sensitive rule editor supports the end-user in defining rules
- Testing workflows with the built-in simulation center dedicated to testing/simulate master data and compliance rules
- Free configurable exposure calculation and hedging/netting methodologies

### XENTIS IC covers all major jurisdictions with country-specific rule sets that are continuously adapted to regulatory requirements:

- Switzerland: (BVV2/ASV, KKV, KKV-FINMA, Finfrag 958.1, FINMA-RS 16/5)
- Germany: (KAGB, WpHG, InvStG, DerivateV, AnIV)
- Luxembourg: (UCITS, CAA)
- Austria: (InvFG inkl. WPV, PKG)
- Liechtenstein: (UCITSG, UCITSV, AIFMG, AIFMV)
- Ireland: (UCITS)
- EU: (MMF)

*Additional country rule sets can be implemented upon request*

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## PROFESSIONAL SERVICES / CONSULTING

IC services provided by Profidata:

- Investment Guideline Service: Analysis of guideline requirements and initial rule implementation
- Onboarding Service: Migration procedures to onboard the IC business
- Reporting Service: IC reports according to a predefined schedule
- XENTIS Investment Compliance as a Service: Supervision of the investment compliance rules and configuration of new compliance rules
- Support & Helpdesk



# AUTOMATE YOUR VALUE CHAIN WITH XENTIS IC



## Business rules and rule repository

- Integrated, context-sensitive rule editor including life cycle management
- Access to all centrally stored data – no data redundancy
- Import-/export functionality for rules

## Simulation and testing

- Simulation based on productive data with current, retrospective or future versions of limit rules
- Ad-hoc or historical investment compliance simulation

## Compliance check

- Pre- and post-trade compliance-check
- Support for various asset-holder structures and levels: portfolios, funds, mandates, groups of assets
- Out-of-the-box support of all common asset classes incl. look-through support/netting and hedging rules

## Monitoring and workflow

- Configurable workflows for breach management including notification in case of breaches or threshold warnings
- Direct access to master data, valuations, key figures, etc. for limit violation analysis
- Absolute or risk-dependent suppression of breaches for a certain period

## Reporting

- Standard reports (e.g. compliance check results, breach/workflow results)
- Audit reports (rule changes, rule assignment)
- Customized reports per customer

## Audit, permissions and rights

- 4-eyes principle
- Fine granular and configurable authorisation on functional and data object level
- Detailed and audit-proof recording of data/rule/rule assignment/IC workflow changes

## XENTIS IC – CLIENTS

More than 30 leading asset management companies in Europe rely on our XENTIS Investment Compliance Solution. Half of the 12 largest custodian banks in Germany rely on the XENTIS IC module (source: BVI statistic as of 30.06.2022)



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