

SEI COMPLIANCE INSIGHT

ENTERPRISE REGULATORY-COMPLIANCE PLATFORM

Global Regulatory Burden

Investment managers, banks, RIAs, broker-dealers and other financial institutions continue to grapple with an overwhelming volume of regulatory and compliance obligations. Increasing technology costs, transparency obligations and the global scope of regulatory requirements, coupled with fee pressures and competing demands for resources, compound the rising regulatory burden.

Our Solution: SEI's Regulatory-Compliance Platform

SEI's regulatory-compliance platform enables your firm to leverage automated processes, best-in-class technology, and a robust regulatory data management service to ease your compliance burden. Financial services firms like yours continue to struggle for cost-effective, centrally-located consistent regulatory data. Our service offering addresses these needs by providing you access to timely, accurate data. Our regulatory-compliance platform can be tailored to your firm's data management, regulatory reporting, and end-investor reporting requirements so that your firm can concentrate on key risk areas and redeploy costly resources to focus on revenue-generating initiatives. In addition, our compliance management system allows you to digitize your compliance program, providing you with easy accessibility, updating capabilities, and the ability to assess risk and test your firm's compliance policies and procedures.

Our platform:

- › Incorporates multiple validation protocols ensuring consistency of data across regulatory reports
- › Eliminates the need to reconcile multiple data sets from disparate sources
- › Provides you with access to extensive subject matter expertise, peer group insights and a growing list of analytical services
- › Digitizes your firm's compliance program, enhancing transparency and scalability along with mitigating key person risk

We provide a global regulatory compliance platform with robust business services and integrated technology that:



Uses a comprehensive, scalable infrastructure

- › Scalable platform architecture
- › Integration and management of regulatory data (e.g., data aggregation and normalization)
- › Multiple validation protocols

Is adaptable and efficient

- › Cost-effective and customizable platform
- › Single point of access to best-of-breed systems
- › Flexible reporting tools with user-configurable dashboards

Imbeds deep subject matter expertise

- › Expert project management services and deep regulatory expertise
- › Consistency in reporting across organization with peer group insights
- › In-depth knowledge and practical experience across a global and diverse client base

Our comprehensive services help financial services firms meet global reporting and compliance requirements, currently focused on the following key areas:

Regulatory Data Management: Confidence and consistency

- › Aggregation of data from disparate sources
- › Data enrichment
- › Normalization
- › Multiple validation protocols
- › Standardization of data to provide consistency in reporting

Regulatory Reporting Program Management: Migrating clients from 'doing' to 'reviewing'

- › Form PF, Form CPO-PQR, AIFMD Annex IV
- › Registered Investment Company Reporting (N-PORT, N-CEN)
- › Forms 13D/F/G
- › Form ADV
- › TIC Reports
- › Large Shareholder Reports
- › PRIIPS, MiFID II and more

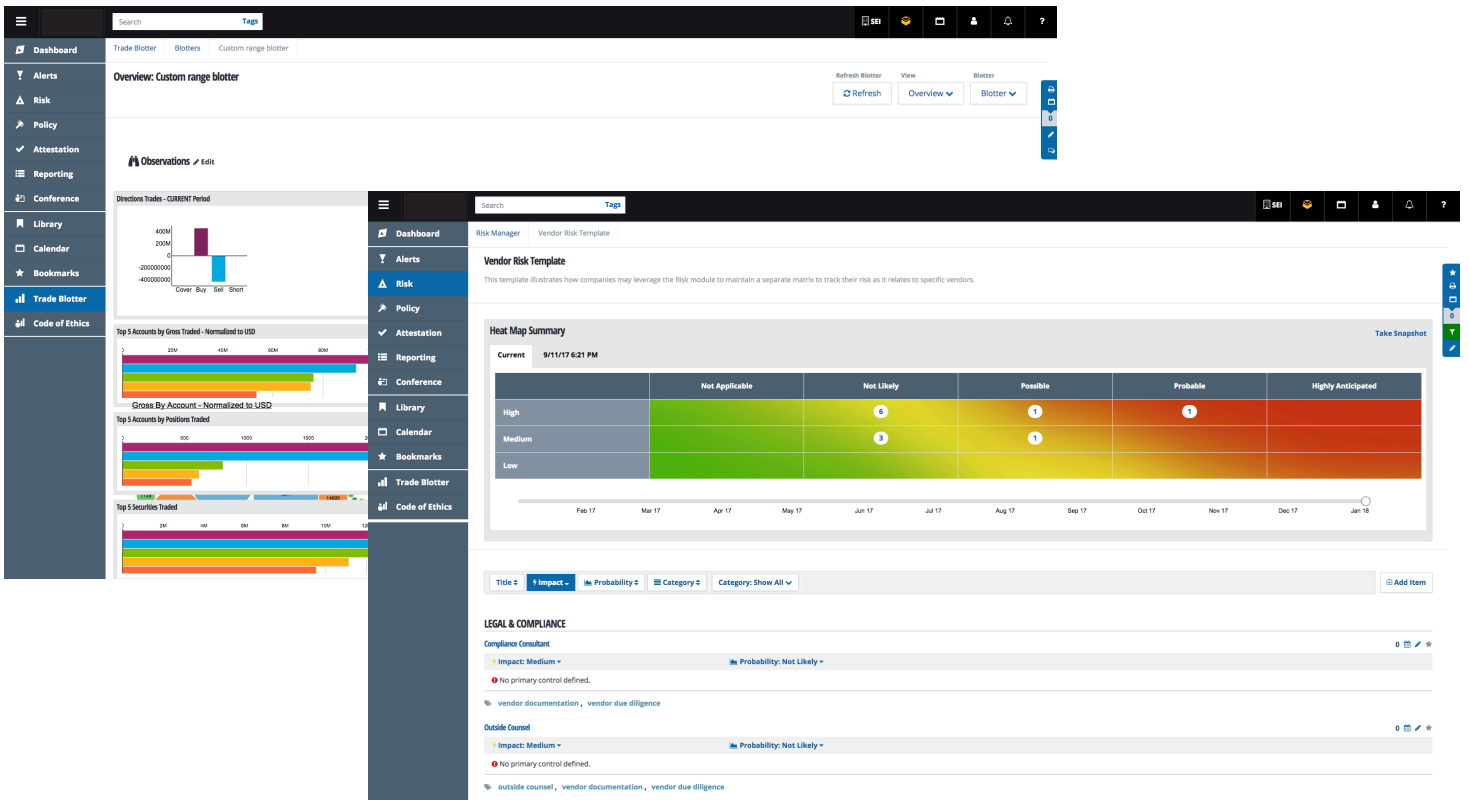
Investor Compliance: Centralizing data management and reporting relating to your end investors

- › FATCA
- › OECD CRS
- › AML/CDD

Firm Compliance: Digitizing compliance programs

- › An easily implemented compliance management system that provides technology for your firm's policies and procedures, firm risk assessments and testing
- › Post-trade portfolio compliance monitoring
- › Code of ethics reporting
- › Trade compliance reporting

Sample dashboard screenshots



For more information

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About SEI's Investment Manager Services Division

SEI's Investment Manager Services supplies investment organizations of all types with advanced operating infrastructure they must have to evolve and compete in a landscape of escalating business challenges. SEI's award-winning global operating platform provides investment managers and asset owners with customized and integrated capabilities across a wide range of investment vehicles, strategies and jurisdictions. Our services enable users to gain scale and efficiency, keep pace with marketplace demands, and run their businesses more strategically. SEI partners with more than 550 traditional and alternative asset managers, as well as sovereign wealth funds and family offices, representing nearly \$30 trillion in assets, including 49 of the top 100 asset managers worldwide*. For more information, visit seic.com/ims.

*Based on Pensions & Investments' "Largest Money Managers" 2019 ranking.

About SEI

After 50 years in business, SEI (NASDAQ:SEIC) remains a leading global provider of investment processing, investment management, and investment operations solutions designed to help corporations, financial institutions, financial advisors, and ultra-high-net-worth families create and manage wealth. As of December 31, 2020, through its subsidiaries and partnerships in which the company has a significant interest, SEI manages, advises or administers approximately \$1 trillion in hedge, private equity, mutual fund and pooled or separately managed assets, including approximately \$369 billion in assets under management and \$787 billion in client assets under administration. For more information, visit seic.com.

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