

# 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

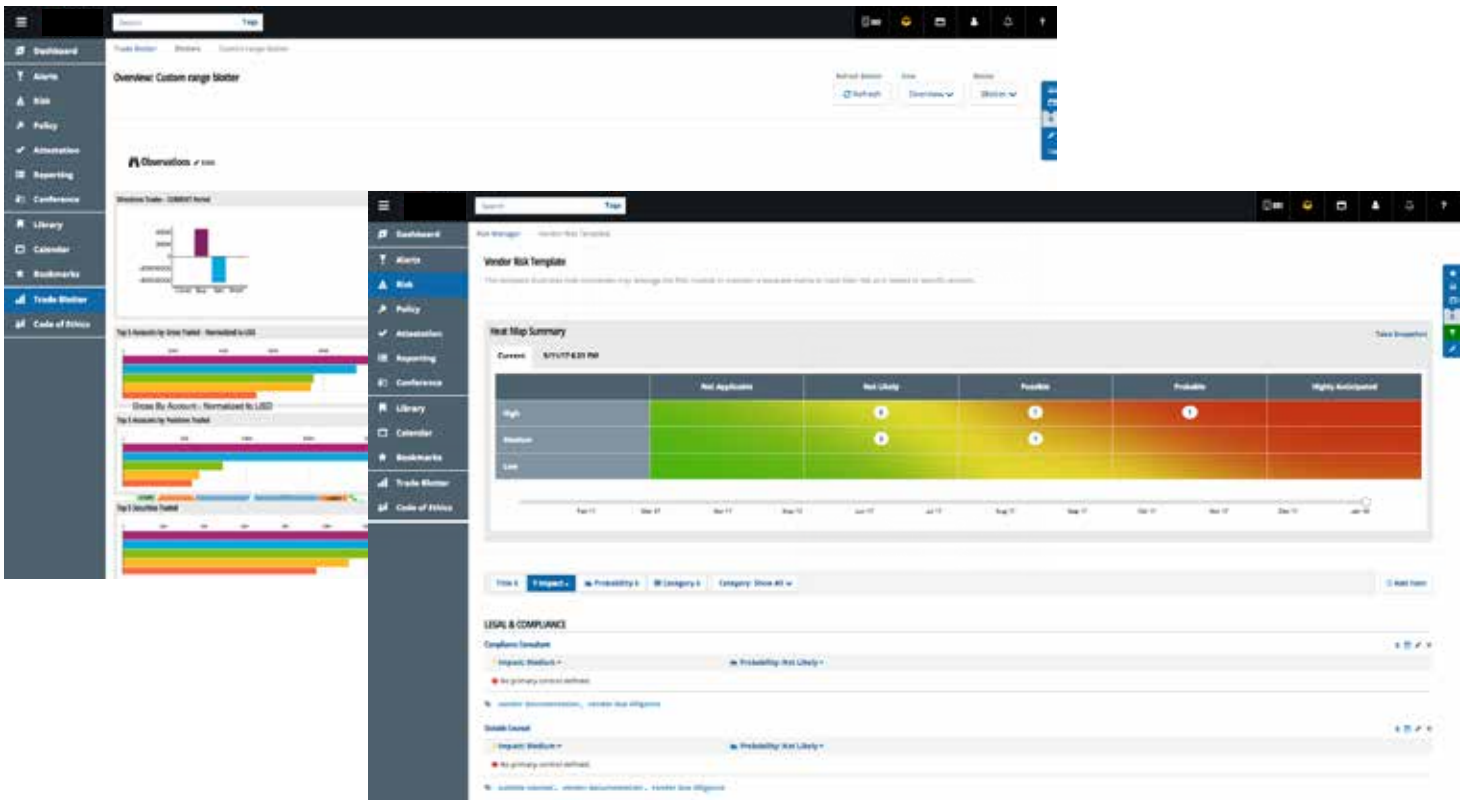
**Investor Compliance: Centralizing data management and reporting relating to your end investors**

- › 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

**Call:** 610-676-1270

**Email:** [ManagerServices@seic.com](mailto:ManagerServices@seic.com)

**Visit:** [seic.com/ims](http://seic.com/ims)

## About SEI's Investment Manager Services Division

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 presently partners with more than 300 asset owners and investment managers of traditional, alternative and hybrid structures representing \$16.5 trillion in assets, including 36 of the top 100 managers worldwide. For more information, visit [seic.com/ims](http://seic.com/ims).

## About SEI

Now in its 50th year of business, SEI (NASDAQ:SEIC) is a leading global provider of investment processing, investment management, and investment operations solutions that help corporations, financial institutions, financial advisors, and ultra-high-net-worth families create and manage wealth. As of December 31, 2017, through its subsidiaries and partnerships in which the company has a significant interest, SEI manages, advises or administers \$861 billion in hedge, private equity, mutual fund and pooled or separately managed assets, including \$337 billion in assets under management and \$518 billion in client assets under administration. For more information, visit [seic.com](http://seic.com).

### United States

Corporate Headquarters  
1 Freedom Valley Drive  
P.O. Box 1100  
Oaks, PA 19456  
+1 610 676 1270

### London

1st Floor  
Alphabeta  
14-18 Finsbury Square  
London EC2A 1BR  
+44 (0)20 3810 7570

### Dublin

Styne House  
Upper Hatch Street  
Dublin 2  
Ireland  
+353 1 638 2400

*Services provided by SEI Investments Distribution Co.; SEI Institutional Transfer Agent, Inc; SEI Private Trust Company, a federally chartered limited purpose savings association; SEI Trust Company; SEI Investments Global Fund Services; SEI Global Services, Inc.; SEI Investments–Global Fund Services Limited; SEI Investments–Depositary & Custodial Services (Ireland) Limited; and SEI Investments Global (Cayman) Limited, which are wholly owned subsidiaries of SEI Investments Company. The Investment Manager Services division is an internal business unit of SEI Investments Company.*