

Deloitte's cloud-hosted SaaS technology focuses on the key challenges in the investment compliance lifecycle. Key capabilities include

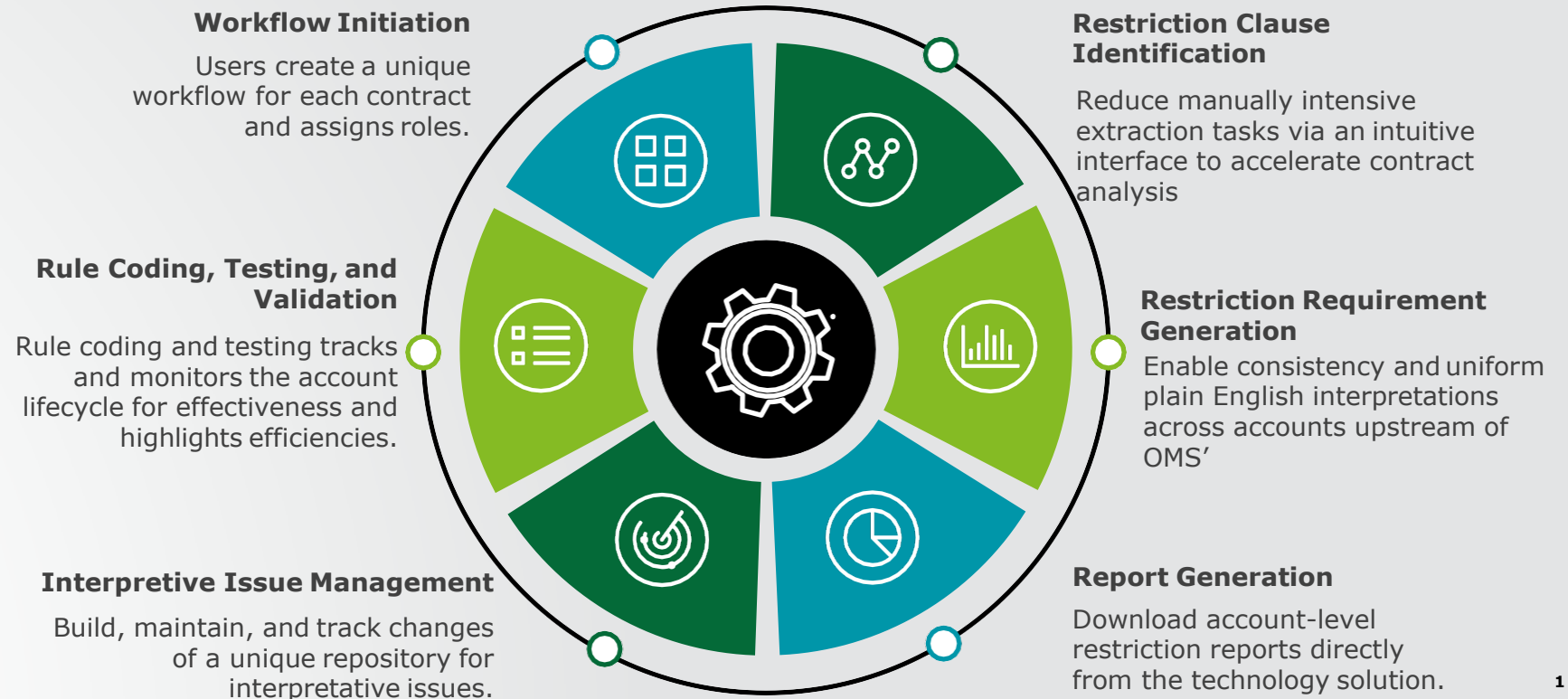
- **Searchable centralized repository** of investment contracts with rich restriction and meta-data attributes
- **Role based workflows** enable task assignment and segregation of duties across teams, and audit trails provide end-to-end governance over investment compliance activities
- **Contract review** in application with machine-assisted interfaces accelerates extraction of restriction text
- **End to end process support** from restriction requirement identification to rule coding and testing across different OMS

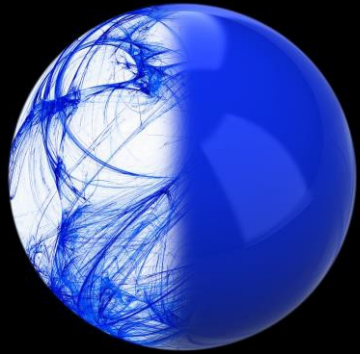
Deloitte's Investment Restriction Management System

Reclaim governance over the investment restriction management lifecycle

Investment compliance has traditionally been a series of labor intensive processes across multiple systems, requiring time and specialist resources, both of which are in short supply. Performing these tasks often produces bloated and unverifiable rulesets, and in conjunction with order management systems (OMS) which typically lack standardization and controls, produces impediments to an end-to-end investment compliance lifecycle.

UnifyIC, an investment restriction management system, brings integrity to rule generation and realigns FTE resources to a consistent and robust compliance workflow. UnifyIC enables scalability across repeatable processes, enabling governance and substantiation of compliance activities.





Let's talk.

About Deloitte

Deloitte refers to one or more of Deloitte Touche Tohmatsu Limited, a UK private company limited by guarantee ("DTTL"), its network of member firms, and their related entities. DTTL and each of its member firms are legally separate and independent entities. DTTL (also referred to as "Deloitte Global") does not provide services to clients. In the United States, Deloitte refers to one or more of the US member firms of DTTL, their related entities that operate using the "Deloitte" name in the United States and their respective affiliates. Certain services may not be available to attest clients under the rules and regulations of public accounting. Please see www.deloitte.com/about to learn more about our global network of member firms.

Copyright © 2020 Deloitte Development LLC. All rights reserved.
36 USC 220506

The Upside of Automation

The Benefits of UnifyIC



Plain English rule development may reduce 50% of rules within OMS'



Results in up to 25% FTE cost saving due to resource realignment and prioritization of judgment tasks



Permits resources to be diverted to leaner, value-mapped workflows.

The Power of UnifyIC

Explore UnifyIC approach specifically designed to bolster your existing investment compliance capabilities. UnifyIC features enable you to more clearly achieve broad compliance goals, by standardizing and substantiating traditionally complicated activities.

Workflows

Established and tailorable workflows enable enforcement of policies and consistently reformed processes, preventing manual changes and reproducibility, which often lower data quality.

Fine Controls

Have confidence in your ruleset accuracy with OMS related change controls. Easily manage their volume, taxonomy, and periodic reconciliation to ensure rules are not included arbitrarily.

Extensive Reports

Granular tracking allows the generation of proof of work to provide management, as well as identifying trends and outliers throughout the rule generation workflow.