

PRODUCT BRIEF

Delivering Compliance Confidence

SS&C Black Diamond® Wealth Solutions provides an accurate and automated oversight experience.

Black Diamond Compliance & Surveillance provides firms of all types and sizes a single web-based environment where compliance teams can verify supervisory activities and ensure policies are functional, tracked, and executed consistently. This functionality ensures that daily data, such as transactions, orders, account activity, and holdings, are securely managed for automatic and detailed surveillance.

The platform comes equipped with an extensive library of pre-configured and customizable compliance tests to support a firm's mandated requirements to comply with many SEC, FINRA, and USA Patriot/Bank Secrecy Act regulations. For an uncluttered experience and optimal ease of use, firms can select and leverage only the modules that support the functionality needed. Each module is designed to support specific regulatory and supervisory requirements and includes:



Employee Trade & Activity Monitoring

Monitors all employee accounts held at outside financial institutions. The module utilizes the existing network of hundreds of custodial sources for thorough

oversight. Includes comprehensive attestation and reporting plus, pre-trade clearance complete with details on outside business activities, gifts, entertainment, as well as political contribution and donation tracking.



Digital Message Surveillance (DMS)

Customizable features help deliver information that utilizes advisor, investor position, trade, and CRM data, providing a connected one-view of the investor accounts and associated messages. Keyword/phrase lexicon rules power DMS, integrating security symbols, black/white lists, advisor and branch customizations, and full archiving, query, retrieval, and export functionalities.



Broker-Dealer/Investment Advisor Supervisory

Supports FINRA and the SEC's broker, advisor, and investor transaction, non-trade, position, and account household surveillance requirements.



Investment Suitability

Pinpoints client accounts that have drifted from the stated risk and investment objectives in support of the Care Obligation component of Regulation Best Interest (Reg BI). This module also detects investment concentration, diversification, time horizon, and age suitability issues.



Anti-Money Laundering: Watch/Sanctions List & Transaction Monitoring

Performs watch and sanctions list screening and analyzes for risk and suspicious activity in compliance with the Bank Secrecy Act/USA Patriot Act and worldwide requirements and regulations.



Senior & Vulnerable Investor Surveillance

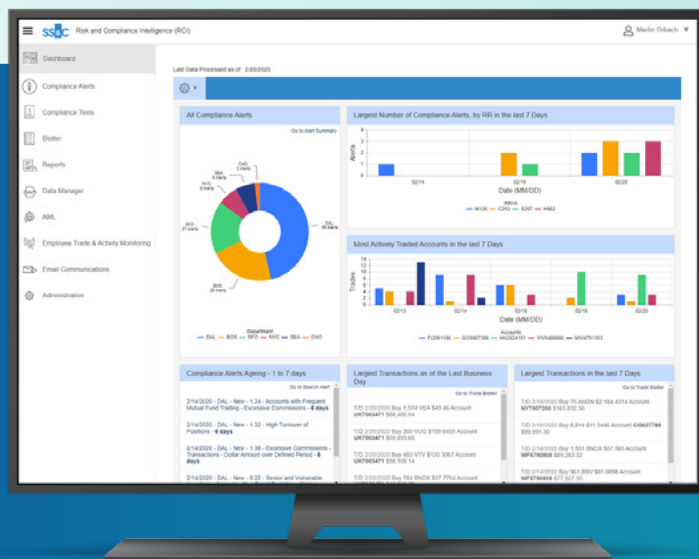
Identifies instances of financial exploitation of elderly or vulnerable investors.



Market Manipulation Surveillance

Detects market manipulation like spoofing, layering, front-running, and non-beneficial change of ownership in support of Regulation National Market System (Reg NMS) compliance.

With the power of **Black Diamond Compliance & Surveillance** behind you, your firm can have a full-fledged compliance solution that is cost-effective, easy to implement, and dependable.



The dashboard provides real-time updates of all supervision and compliance activities within a single view.

Firms benefit from:

- Accurate and detailed automated surveillance of all transactions, orders, portfolios, and account holdings with alerts that allow further analysis and, if necessary, escalation.
- Advanced compliance workflows, efficient case management, searchable and permission-based archiving, as well as full audit and key performance reporting capabilities.
- One-view dashboards that display alerts by funds, jurisdiction, or business unit, and compliance case status.
- Unlimited access to an extensive library of pre-built compliance tests for out-of-the-box surveillance and detection capabilities at no additional cost. Plus, custom tests can easily be designed, configured, and deployed through an intuitive test builder interface.
- The ability to access, export, and print predefined reports with user-driven date ranges and customized content.
- Workflow customization along with time-saving features such as predefined compliance case responses, email integration, direct document upload to compliance alerts, and alert aging.
- More time, so compliance personnel can focus on subjective tasks as they escalate and resolve cases.

For more information

If you have questions or would like to learn how **SS&C Black Diamond® Wealth Solutions** can fulfill your firm's compliance needs, visit ssblackdiamond.com, call 1-800-727-0605, or email info@ssblackdiamond.com.

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