

Investment Compliance Support for a Global Asset Manager

100%accurate and updated
guidelines**40%**

time savings

\$200Koperational cost
savings**100%**

timelines achieved

CLIENT CHALLENGES

- A US-based global [asset manager](#) with more than USD 200 Bn in AUM was facing challenges in managing the review of guidelines on a periodic basis:
 - As the asset manager's [Compliance](#) function was short staffed, it was unable to conduct biennial reviews of all investment restrictions across its accounts
 - The client selected Moody's Analytics Knowledge Services for a cost-effective solution to manage the guideline review and free up its internal Compliance team to focus on higher-risk, higher-value work

OUR APPROACH

- Underwent a two-week onsite whiteboarding, training, and transition program to understand the current process and associated challenges
- Deployed a team of two senior associates to conduct the ongoing review of investment restrictions across all accounts

IMPACT DELIVERED

- Identified and reported missing rules, if any
- Improved current rule code and modified existing rules, where necessary
- Reviewed client-provided restricted lists against those coded in the system and modified/updated accordingly
- Reviewed the rules library to identify similar rules, enhance existing rules, and streamline the library

About Acuity Knowledge Partners

Acuity Knowledge Partners is a leading provider of high-value research, analytics and business intelligence to the financial services sector. The company supports over 350+ financial institutions and consulting companies through a team of over 3,000+ subject matter experts who work as an extension of the clients' teams based out of various global delivery centres.

We empower our clients to drive revenues higher. We innovate using our proprietary technology and automation solutions. We enable our clients to transform their operating model and cost base.

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