

Investment Compliance Support for a Global Asset Manager

100%
accurate and
updated guidelines

40%
time savings

\$200K
operational
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, formerly part of Moody's Corporation, is a leading provider of bespoke research, analytics, staffing and technology solutions to the financial services sector.

Headquartered in London, Acuity Knowledge Partners has nearly two decades of transformation experience in servicing over 300 clients with a specialist workforce of over 2,500 analysts and delivery experts across its global delivery network.

We provide our clients with unique assistance not only to innovate, implement transformation programmes and increase operational efficiency, but also to manage costs and improve their top lines.

These services are supported by our proprietary suite of Business Excellence and Automation Tools (BEAT) that offer domain-specific contextual technology.

Acuity Knowledge Partners is assisted by Equistone Partners Europe, a leading private equity organisation that backs specialist growth businesses and management teams.