

# INVESTMENT COMPLIANCE MONITORING

Heightened regulatory scrutiny and an increasingly complex investment landscape mean it is more important than ever that asset managers adhere to your investment policies. Draw on Northern Trust's investment compliance services to achieve greater transparency and insight into events across your portfolio.

## **GAIN CONFIDENCE THROUGH COMPLIANCE**

Use our Compliance Analyst® system and access post-trade monitoring solutions offering efficient, independent verification of investment guideline compliance. The result is clear oversight and control, helping you avoid inefficiencies in your screening and reducing risk.

- **Discover** if your asset managers are complying with your investment management guidelines
- **Understand** your monitoring results using ComplianceRADAR™, our online workflow and reporting tool
- **Trust** in the expertise of our global team of consultants to support you in the way that suits you best
- **Benefit** from multi asset data coverage and powerful analytics allowing you to have confidence in the depth of our monitoring
- **Use** our reporting to engage with your asset managers in an efficient and productive way

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## **Proven Expertise**

- More than 20 years' experience providing compliance solutions to global custody clients
- Over US\$4 trillion of assets monitored
- Serving more than 200 clients worldwide, including pension funds, central banks, insurers, sovereign entities and foundations
- More than 170,000+ securities evaluated daily across 4,000 portfolios

*All figures as of 31 November 2016  
Source: Northern Trust*

### MONITOR LIMITLESS SCENARIOS

Compliance Analyst® allows you to employ a vast range of investment restrictions across asset classes and countries, including:

- **Exposure** – leverage limit restrictions on security, issuer, sector, country and currency exposures, alongside ownership concentration
- **Cost and Market Value** – benefit from quantitative monitoring of characteristics such as security cost relative to average portfolio cost and market value
- **Index Relative** – monitor equity and fixed income characteristics relative to an index on a security, sector and regional basis
- **Equity Characteristics** – including beta, market capitalisation, dividend yield, and earnings-per-share growth rate alongside debt, price and return ratios
- **Fixed Income Characteristics** – including duration, maturity and credit rating
- **Environmental, Social and Corporate Governance (ESG)** – fully engage ESG guidelines relative to index and industry peer group

### RELY ON OUR GLOBAL REACH

Every day, Northern Trust's Investment Risk and Analytical Services (IRAS) team provides clients around the world with analytics. We have consultants in Chicago, London, Singapore and Melbourne to support you in performance measurement and risk analysis as well as investment compliance monitoring. Above all, we support you in gaining greater insight into your investments for more informed decision making.

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### Contact us

To learn more about how Northern Trust can help you better oversee your post-trade monitoring and to arrange for a demonstration of Compliance Analyst®, contact your Northern Trust representative or visit [www.northerntrust.com](http://www.northerntrust.com)

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