

Fund documentation compliance ■



Turning your fund literature into an asset

The environment in which the fund industry works is one of perpetual regulatory changes and ever-expanding compliance duties. It is not unheard of to have some compliance controls outshone by other, more urgent and sensitive, oversight duties.

A fund's documentation is a very important source of information, based on which asset managers may be held liable. This multitude of documents is prepared by different teams, according to both regulatory standards and brand image requirements. Controlling the compliance, consistency and correctness of translations of these documents is a dauntingly time-consuming task which requires industry-savviness and a multi-lingual team. As such, these controls are often not thoroughly carried out. A latent risk of non-compliance hangs in the air...

SEQVOIA's **Fund documentation compliance** solution takes the pain away from controlling a fund's literature. It autonomously extracts data from a fund's documentation and uses it to carry out compliance controls. The solution then delivers a report to the user summarising its findings, allowing the operator to decide which topic requires further investigations. It also enables users to extract unstructured data from fund literature and reuse it to support other operational processes, thus improving data consistency across your organisation.

Added-value ■

Extract data directly from documents

Extract data from unstructured documents without any input from the user. Extracted data are recorded and presented to the user for validation. Thanks to Machine Learning technology, data extraction accuracy perpetually increases, requiring less validation from users over time.

Promote consistency within your organisation

Define bespoke reports and extract data from the solution. Make sure that all departments within your organisation rely on the same, automated source of information. All operations are perfectly aligned with the fund literature.

Accelerate compliance controls

Rely on the **Fund documentation compliance** solution to carry out the bulk of your document compliance controls:

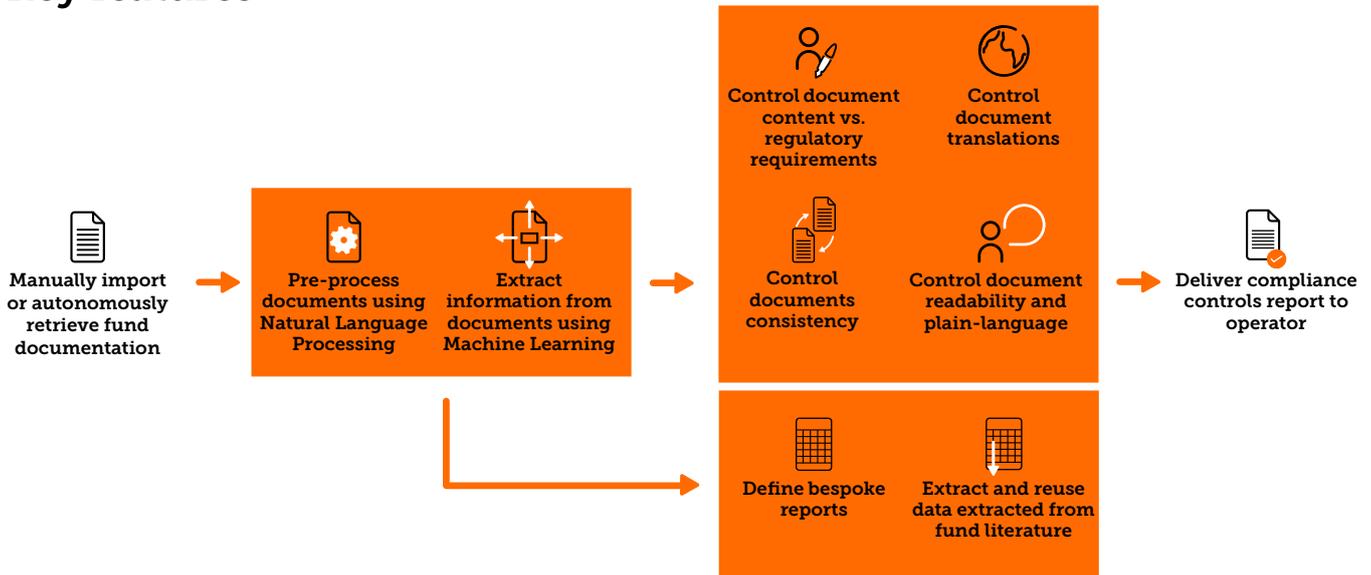
- Ensure that your documents meet regulatory expectations (verify mandatory disclaimers, information presence and level of detail).
- Control data consistency across multiple documents (prospectuses, KIIDs, KIDs, factsheets, etc.).
- Identify failures in the translation process (partial translations or translation in incorrect language).
- Measure your fund literature readability or compliance with the plain language requirements (quantify semantic and grammatical complexity, identify jargon).

Remain in control

Enjoy a perfect visibility over the controls performed, the exact test run and their outcome. Determine which further investigations are necessary in order to meet your compliance standards.

Fund documentation compliance.

Key features



- Collect documents from multiple channels:
 - Load one or several documents manually, or
 - Regularly retrieve large volume of documents from asset managers' and data vendors' websites.
- Autonomously identify the document type and the associated product.
- Automatically extract hundreds of data points from unstructured documents. Summarise and submit all extracted data to a human approver.
- Define bespoke reports to retrieve and reuse any extracted data.
- Trigger compliance controls or, alternatively, schedule regular documents intake and controls execution.
- Select from a large library of compliance checks, the controls fitting your compliance procedure or use a simple interface to define bespoke compliance controls.
- Receive a detailed compliance controls execution report to review the scope of controls performed and their respective outcome.
- Track history of all controls performed and their outcome to demonstrate compliance procedure execution to auditors and supervision authority.

seqvoia

SEQVOIA is a leading and influential RegTech which has been helping its customers to create and manage regulatory and statutory documents since 2012.

Through **Fund documentation compliance**, SEQVOIA automates time-consuming compliance controls thus enabling its customers to focus on other sensitive duties.

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