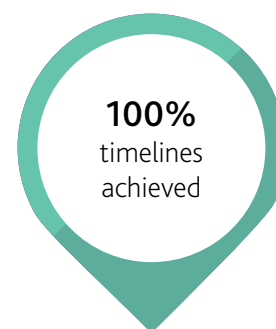
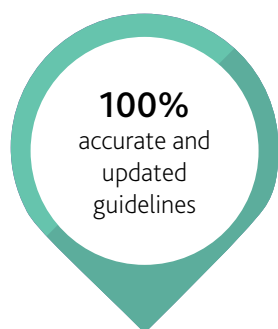


Impact Story – Investment Compliance Support for a Global Asset Manager



Client requirement

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

How we solved the problem?

- » 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

What we did differently?

- » 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 Moody's Analytics Knowledge Services

We enable organizations to innovate and transform in an ever-changing world. Our global pool of domain experts enables businesses to innovate, scale, and reduce costs. Providing customized solutions is in our DNA – solutions that have a tangible impact on our clients' top-line and bottom-line, enabling them to achieve more with less.

Our clients include leading bulge-bracket financial institutions, asset managers, Fortune 100 corporations, mid-tier companies, boutique investment banks, and funds. We support over 150 institutional clients through our team of 2,600+ employees and our global delivery centers, located in close proximity to our clients.