



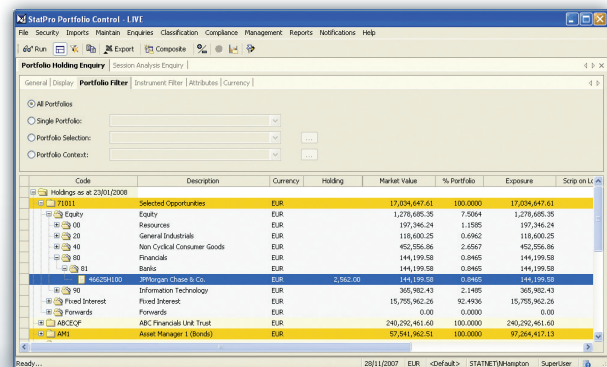
StatPro's governance module brings an *innovative new approach* to the business-critical investment compliance and disclosure functions of investment firms, combining enhanced risk monitoring and control functionality with appropriate disclosure to all stakeholders, including management, clients and regulators.

In an increasingly complex investment landscape, the demands placed on firms to implement adequate controls and appropriate disclosures to monitor, manage and communicate the risks faced by their business are now greater than ever. Our governance system offers tools to effectively manage counterparty risk, credit risk, liquidity risk, leverage, as well as other investment guidelines, client mandates and regulatory rulebooks. The result is a single, transparent and consistent system that meets all of your governance needs and ensures that your team are equipped with the best tools available to meet the daily challenges they face.

## MODULE HIGHLIGHTS

- Counterparty risk
- Credit risk
- Liquidity risk
- Exposure concentrations
- Value at risk
- Leverage and derivative cover
- Tailored risk profiles
- Portfolio analytics
- Investment guidelines
- Regulatory rulebooks
- Client mandate compliance
- Regulatory compliance

## SCREENSHOTS



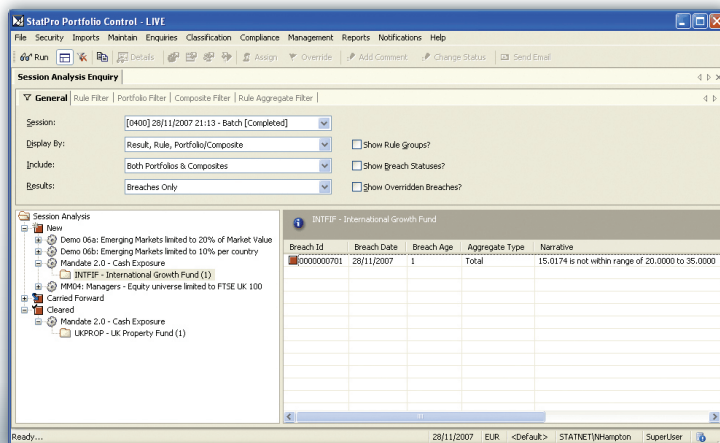
Code	Description	Currency	Holding	Market Value	% Portfolio	Exposure	Script on L...
17001	Selected Opportunities	EUR		17,000,000.00	100.0000	17,000,000.00	
00	Equity	EUR	1,276,695.26	7.5064	4.5064	1,276,695.26	
00	Resources	EUR	197,346.24	1.1585	0.7254	197,346.24	
20	General Industrials	EUR	118,600.25	0.6952	0.7000	118,600.25	
40	Non-Cyclical Consumer Goods	EUR	452,256.96	2.6527	2.6527	452,256.96	
80	Financials	EUR	144,199.58	0.8465	0.8465	144,199.58	
41	Banks	EUR	144,199.58	0.8465	0.8465	144,199.58	
90	Information Technology	EUR	365,962.43	2.1495	2.1495	365,962.43	
Fixed Interest	Fixed Interest	EUR	15,755,962.26	92.4936	92.4936	15,755,962.26	
Forwards	Forwards	EUR	0.00	0.0000	0.0000	0.00	
ABCECF	ABC Financial Unit Trust	EUR	240,292,461.60	100.0000	100.0000	240,292,461.60	
AM1	Asset Manager 1 (Bonds)	EUR	57,541,962.51	0.3381	0.3381	57,541,962.51	

▲ Portfolio Holding Enquiry





StatPro's Governance system is available as a *stand-alone solution* or as a fully-integrated module of our portfolio analytics platform, linked by a common data hub.



Breach Id	Breach Date	Breach Age	Aggregate Type	Narrative
000000701	28/11/2007	1	Total	15.0174 is not within range of 20.0000 to 35.0000

## GOVERNANCE SCREENSHOTS

Breach Analysis Enquiry

## KEY BENEFITS

**Applicable across industries**

- Supports all types of investment firms, including fund managers, multi-managers, hedge funds, pension funds, retail management companies and custodians

**Full audit trail of breaches and resolutions**

- Audit trail and history of all control checks
- Track the life-cycle of breaches and resolutions
- 'Prove' control results and process

**Sophisticated breach management workflow**

- Categorize, assign, override and comment on breaches
- Automated workflow
- Email communication
- Web interface
- Full transparency across the firm supports a compliance culture

**Full support for all regulatory environments**

- Regulations supported include UCITS III, US Investment Act of 1940, NI 81-102
- Refer to [www.statpro.com/rulebooks](http://www.statpro.com/rulebooks) for a full list of regulatory rulebooks

**Customized reporting & enquiry management**

- Breach classification and severity breakdown
- Compliance certificates
- Breach age analysis
- Monitor daily changes in compliance status

**Data tailored to the needs of the firm**

- Complete and accurate results
- Independent of back or front office systems
- Consistent daily processing

