

Asset Management

APPIAN HELPS ASSET MANAGERS ADAPT AND REACT TO MARKET CHANGES

Trust Appian for the process agility to respond to changing regulatory mandates

MITIGATE OPERATIONAL RISK WITH A UNIFIED PLATFORM

Asset managers must continue to focus on their core business of creating innovative investment strategies, while keeping costs down, and offering the highest level of client service amid a constantly changing regulatory landscape and increased administrative tasks.

A unified platform approach enables asset managers to:

- Reduce costs and invest in future-state capabilities
- Improve legacy processes
- Achieve and maintain regulatory compliance
- Reduce trading errors
- Document high risk records with an efficient and modernized workflow

The agility achieved allows asset managers to respond to the market and shift their focus to more specialized strategies, such as alternatives and multi-asset.

“Global investable assets for the asset management industry will increase to more than \$100 trillion by 2020.”

– PwC Asset Management 2020 – A Brave New World

OFFER THE HIGHEST LEVEL OF CLIENT SERVICE

Client expectations are growing. To delight clients, asset managers need to develop new tools and analytics conceived through the integration of legacy systems and disparate data sources. Aggregating data from asset managers, owners, brokerage firms and others can reveal real-time signals that can translate into new risk metrics, benchmarks, regulatory tools and investment opportunities. This dedication to innovation will allow asset managers to apply discipline and rigor, across all strategies while managing a wider range of risks and providing exceptional client service.

In response to regulations such as MiFID II, asset managers have had to increase annual spending on compliance, putting an additional pressure on profits.

MEET DEMANDS FROM CLIENTS AND REGULATORS

Clients expect asset managers to compound their capital over time without undue risk, while asset managers are striving to become trusted advisors and providers of solutions to their clients. To achieve this trusted relationship, asset managers must go beyond a reactive, compliance-driven approach to regulation and rethink business models and product lineups to embrace the opportunities created by regulation.

Asset managers must be able to quickly respond to examiner’s requests for:

- Selection of investments
- Allocation of investment opportunities
- Suitability analysis
- Selection and assessment of executing broker-dealers
- Ongoing due diligence
- Portfolio monitoring

Asset managers who are able to quickly to comply may reap the benefit of improved client confidence, as well as improved transparency over costs, fund objectives and performance reporting.

THE APPIAN DIFFERENCE FOR ASSET MANAGEMENT

- **Increase transparency.** Provide visibility to complex processes and interaction across the lifecycle of corporate action transactions.
- **Reduce costs.** Intelligent automation reduces manual auditing steps, creates an agile and standardized workflow, while improving time-to-business outcome.
- **Continuously improve compliance and risk management.** Manage the process of evaluation of all new changes in regulation, while evolving to meet new regulations and changing business needs.

Explore the Appian suite of applications for Asset Management

New Business

- Deal Initiation and Review
- Product Launch Management
- Product Hub 360

Customer Service

- Customer Transaction Lifecycle Management
- Customer On-Boarding Coordination
- Customer Reporting Oversight

Capital Markets Operations

- Corporate Actions
- Legal Entity Lifecycle Management
- Investment Operations Help Desk
- NAV Oversight and Control

Corporate Functions

- Financial Accounting Processes including month-end, quarterly, annual close
- HR Management
- Internal Audit
- Legal Management
- Enterprise Risk Response and Investigations

Governance, Risk & Compliance

- Political Contribution Surveillance
- Service Provider Oversight and Control
- GDPR
- AML
- FATCA
- Fraud
- MiFIDII
- CIP / KYC / Enhanced Due Diligence
- Regulatory Monitoring and Action

APPIAN ASSET MANAGEMENT CUSTOMERS CAN:

 Simplify Client Service

 Reduce Operational Risk

 Reduce Costs

REPRESENTATIVE APPIAN ASSET MANAGEMENT CUSTOMERS:



Learn more about Appian's capabilities for Asset Management: appian.com/finserv