



Financial Services | Asset Management

Appian helps asset managers adapt and react to market changes.

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.

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 other 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, 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 maximize alpha and minimize 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 comply quickly 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.** Intelligence 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 evaluation process of all new regulatory changes, while meeting changing business needs.

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

Explore the Appian suite of applications for asset management:

New business	Customer service	Capital markets operations	Corporate functions	Governance, risk and compliance
<ul style="list-style-type: none"> Deal initiation and review Product launch management Product Hub 360 	<ul style="list-style-type: none"> Customer lifecycle management Connected Onboarding Connected Servicing 	<ul style="list-style-type: none"> Corporate actions Legal entity lifecycle management Investment operations help desk NAV oversight and control 	<ul style="list-style-type: none"> Financial accounting processes including month-end, quarterly, annual close HR management Internal audit Legal management Enterprise risk response and investigations ESG (Environmental Social Governance) 	<ul style="list-style-type: none"> 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

Discover the benefits of low-code, a simpler way to create powerful software that innovative asset managers are adopting to drive breakthrough value. Use low-code to increase your speed to market, operational efficiency, compliance, customer journeys, and power to innovate—fast.

Learn more about the Appian capability for asset management: appian.com/finserv.