Deloitte’s Investment Restriction Management System

Reclaim governance over the investment restriction management lifecycle

Investment compliance has traditionally been a series of labor intensive processes across multiple systems, requiring time and specialist resources, both of which are in short supply. Performing these tasks often produces bloated and unverifiable rulesets, and in conjunction with order management systems (OMS) which typically lack standardization and controls, produces impediments to an end-to-end investment compliance lifecycle.

UnifyIC, an investment restriction management system, brings integrity to rule generation and realigns FTE resources to a consistent and robust compliance workflow. UnifyIC enables scalability across repeatable processes, enabling governance and substantiation of compliance activities.

- **Workflow Initiation**: Users create a unique workflow for each contract and assigns roles.

- **Rule Coding, Testing, and Validation**: Rule coding and testing tracks and monitors the account lifecycle for effectiveness and highlights efficiencies.

- **Restriction Clause Identification**: Reduce manually intensive extraction tasks via an intuitive interface to accelerate contract analysis.

- **Restriction Requirement Generation**: Enable consistency and uniform plain English interpretations across accounts upstream of OMS’

- **Interpretive Issue Management**: Build, maintain, and track changes of a unique repository for interpretative issues.

- **Report Generation**: Download account-level restriction reports directly from the technology solution.
The Upside of Automation

The Benefits of UnifyIC

- Plain English rule development may reduce 50% of rules within OMS’
- Results in up to 25% FTE cost saving due to resource realignment and prioritization of judgment tasks
- Permits resources to be diverted to leaner, value-mapped workflows.

The Power of UnifyIC

Explore UnifyIC approach specifically designed to bolster your existing investment compliance capabilities. UnifyIC features enable you to more clearly achieve broad compliance goals, by standardizing and substantiating traditionally complicated activities.

Workflows
Established and tailorable workflows enable enforcement of policies and consistently reperformed processes, preventing manual changes and reproducibility, which often lower data quality.

Fine Controls
Have confidence in your ruleset accuracy with OMS related change controls. Easily manage their volume, taxonomy, and periodic reconciliation to ensure rules are not included arbitrarily.

Extensive Reports
Granular tracking allows the generation of proof of work to provide management, as well as identifying trends and outliers throughout the rule generation workflow.

Let’s talk.