

KlarityRisk Investor Onboarding

AN EFFICIENT ONBOARDING PROCESS

- > Electronic Onboarding Sessions
- > Fully Integrated with the APX system
- > KYC Requirements Coverage
- > Assessment of Suitability and Appropriateness
- > Determination of Client Risk Profile
- > Review of existing and Setup of new portfolios
- > Fulfillment of Regulatory and MiFID Requirements
- > High Quality Reporting in partnership with APX data

THE POWERFUL SOLUTION TO GET YOUR CLIENTS ONBOARD AND MEET MIFID REQUIREMENTS

In an ever changing and competitive environment, financial institutions face challenges in meeting regulatory requirements and providing efficient client onboarding processes. KlarityRisk's Investor OnBoarding enables firms to deliver a seamless suitability and appropriateness assessment, focusing not just on capturing data but also on improving the customer and manager experience. This web-based solution, mainly designed for SS&C Advent's Advent Portfolio Exchange (APX) customers, optimizes client services and minimizes the operational and legal costs of a firm. Investor Onboarding covers Regulatory Classification obligations, Client Investment Profiling and Risk Profiling, Investment Suitability and Appropriateness Assessments.

Key Features



Comprehensive Capabilities

- APX-seamless Investor OnBoarding process
- Adaptable and flexible Questionnaire for Individuals and Institutions
- Transparent Risk Profiling and Scoring
- Generation of Portfolio Code
- Creation of Letter of Recommendation
- Patented Audit Trail and tailored search actions



Operations & Compliance

- Coverage of Regulatory Requirements
- Efficiency and scalability in client services
- Strategic close-ended questions
- Avoidance of client Litigation Risk
- Client data protection via user access monitoring (GDPR Compliant)



Ease of Integration

- Embedded Integration mechanism with APX
- Inheritance of user rights based on APX roles
- Same look-and-feel with APX
- Engagement of a sole APX license



Innovative Technology

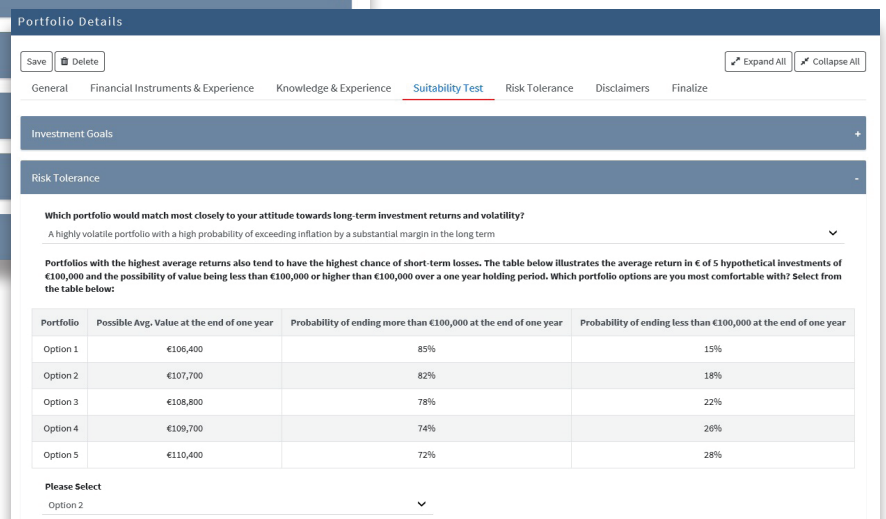
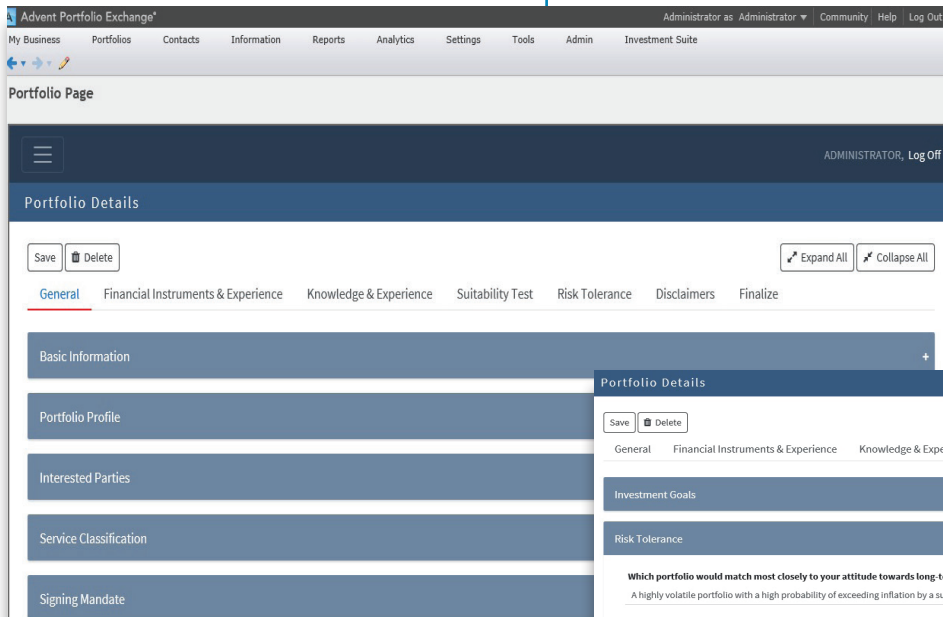
- Bootstrap front-end framework
- SSRS Reporting framework
- Flexible deployment choices
- User Authentication process through single sign-on

Investor Onboarding offers two deployment options: You can choose to access it either directly via the Advent Portfolio Exchange system or as a web application over your intranet. User-authentication is achieved through a single sign-on, providing a safe alternative to credential loss. Template questionnaires of onboarding flows and processes, based on the latest regulatory requirements, are delivered within the core package, while both can be parameterized and configured as per client's needs. Investor OnBoarding reporting framework offers the ability to visualize data in multiple ways and render them in the most common file formats.

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KlarityRisk Investor Onboarding

INTEGRATED WITH ADVENT
PORTFOLIO EXCHANGE & FULLY
CUSTOMIZABLE SOLUTION
FOR CLIENT GROWTH AND
MANAGEMENT



The determination of the risk profile is a critical step in designing the right investment strategy to meet a client's financial goals and objectives. Weighted values can be specified for each answer of the risk-based questionnaire, in order to assess the client risk profile in a transparent and matching way, thus leading to the most appropriate investment offering.

Learn more about all our solutions and our SS&C Advent specialized custom engineering services at:

www.finvent.com