

# Subadvisor Certification Solution



Securely manage, approve and monitor your subadvisor relationships—anytime and anywhere.

As a result of the growth of subadvisory relationships, investment managers have fiduciary responsibilities to certify, select and monitor their active subadvisory relationships. For investment managers who impose rigorous requirements for subadvisor approval, BNY Mellon Intermediary Analytics offers a subadvisor certification solution that delivers a secure, web-based certification process to manage, approve and monitor all your subadvisor relationships.

## Intermediary Analytics by the Numbers



More than 500 asset managers leverage our solution



Over 1 million questions answered through our automated compliance questionnaires



More than 8 years' experience supporting subadvisor oversight

## More Productive Use of Your Compliance Resources

Our subadvisor certification solution provides your compliance staff with better analytics, reporting and enhanced risk mitigation in a secured and controlled environment with a customizable interface. These features reduce the time and resources you need to spend on certifying managers.

A streamlined workflow eliminates repetitious requests for information, duplicate documentation, reporting delays and data inconsistencies. Subadvisor risk data is organized and secure, and activities are recorded in an audit log at each reporting level. This allows your compliance team to quickly and efficiently create sophisticated board oversight reporting packages.

The solution is flexible and can be easily used to manage a broad array of compliance initiatives, including, but not limited to:

- Code of ethics
- Affiliated transaction monitoring (10f-3; 17e-1; 17a-7)
- Derivative reporting (CPO-PQR)
- Commission reporting (soft vs. hard dollar)
- Financial reporting attestation (NCSR;NQ)
- Sarbanes-Oxley certification (SOX)
- Performance management
- Policies and procedures (38a-1)



### **Support for Comprehensive and Efficient Due Diligence**

- Meet fiduciary and compliance responsibilities with more assurance, while mitigating manager-specific and style-drift operational risks.
- Evaluate your liquidity exposure, IPO transactions, derivative risk and affiliated transactions across all your subadvisors.
- Manage and develop custom questionnaires to pinpoint specific subadvisor risk categories to mitigate subadvisor risk.
- Reduce time spent by your staff and subadvisors on document preparation, data input, error correction and filing/retrieval.
- Develop a broader and clearer overview of the subadvisor universe and how specific capabilities align with opportunities and mandates.

### **Key Features and Benefits**

- Streamlines investment manager tasks and oversight.
- Enables more efficiency with mass delegation of tasks.
- Automatically generates email notification alerts.
- Streamlines form completion process and provides customizable forms with advanced logic.
- Enhances risk mitigation by consolidating compliance reporting across subadvisors.
- Enables effective board oversight of subadvisors with automated reporting.
- Combines subadvisor responses with views of sales, assets under management, certification, etc.
- Analyzes and alerts to changes month-over-month.
- Provides customizable user rights for certification and analytics for enhanced security.

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### **FOR MORE INFORMATION**

To learn more about BNY Mellon Intermediary Analytics and our subadvisor certification solution, please visit [bnymellon.com](http://bnymellon.com).



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