



Compliance



Introducing

ShelfMonitor™

FOR DEALERS

Stay on Top of Product Changes

Reg BI establishes a “Best Interest” standard for brokers and advisors when making investment recommendations to their clients. Use ShelfMonitor™ to track product shelf updates, monitor suitability, and stay current.

“ShelfMonitor keeps us audit ready and efficiently helps us stay on top of changes to the ever-changing investment product landscape.”

– President and CEO of a large mutual fund dealer

 **InvestorCOM**

Rise to the challenge of assessing and monitoring every product on your shelf.

Stay on top of material changes to the products on your shelf with custom monitoring and alerts that give you the information you need, when you need it.

The challenges of constant change:

Out-of-date systems pose suitability risks for clients and reputation risks for advisors.

Keeping the products on your shelf accurate and current requires constant attention.

Relying on multiple information providers is inefficient:

- Different formats used
- Difficulty extracting relevant data
- Untimely communication

Distinguishing between material changes and non-material changes is time-consuming.

Demonstrating adequate assessment and monitoring of your product shelf is a manual process.

ShelfMonitor™ and KYP Requirements

Gain confidence in the integrity of your product shelf and the data that supports your processes.

Reg BI's regulatory requirements include ensuring suitability, addressing conflicts of interest, and considering alternative investments. When you are using ShelfMonitor, you have product shelf data and processes that you can rely on.

To meet KYP requirements, your products must be:



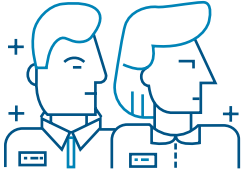
Assessed based on relevant aspects such as structure, features, risks, initial and ongoing costs, and the impact of those costs.



Monitored for significant changes.



Approved to be made available to clients.

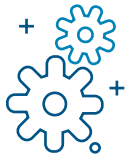


Team

Back-Office Maintenance

Compliance

Product



Use

Stay Current

Keep your investment products current in the back-office system

Track Shelf Updates

Stay compliant with KYP regulatory requirements

Monitor Suitability

Ensure that investor portfolios do not become non-compliant with Know Your Client (KYC) regulatory requirements

Positioning and Competing

Monitor product changes, trends, and positioning

The All-In-One App

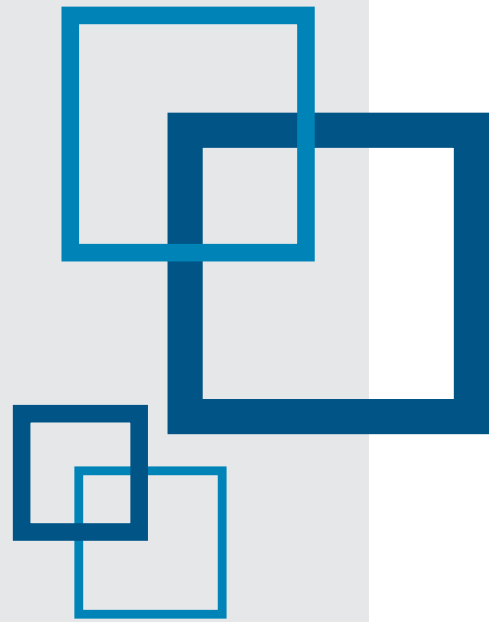
You will have information at your fingertips giving you speed and flexibility.

Dates: [SHOW SUMMARY](#)

SHELF MONITOR ALERTS

There were 574 changes between 2020-02-17 and 2020-02-21

FUND ID CODE	FUND COMPANY	INCEPTION DATE	FUND NAME		VALUE BEFORE CHANGE	VALUE AFTER CHANGE	ABSOLUTE CHANGE	PERCENTAGE CHANGE
FS0000CLEA	AlphaCentric Funds	2016-09-30	AlphaCentric Premium Opportunity C	MER	1.93	1.91	-0.02	-1.04 %
FSUSA0015D	Goldman Sachs	1997-08-15	Goldman Sachs US Equity Insights C	MER	1.08	1.07	-0.01	-0.93 %
FSUSA0033U	Well Fargo Funds	1998-04-01	Wells Fargo Diversified Intl	MER	2.06	2.09	0.03	1.46 %
FSUSA004MA	Rydex Funds	1998-04-02	Rydex Electronics H	MER		0.75		
FS0000CLEA	AlphaCentric Funds	2016-09-30	AlphaCentric Premium Opportunity A	MER		0.86		
FS0000CLE8	Rational Funds	2016-09-30	Rational/ReSolve Adaptive Asset Allc I	MER		0.98		



Get started with ShelfMonitor™ today!

Contact RegBIReady@InvestorCOM.com
for a demo and to start your free 30-day trial.

InvestorCOM is a leading provider of software and outsourcing services to the wealth management industry.

Our intuitive and innovative suite of RegTech solutions enable effective communications and disclosure in an increasingly regulated environment.

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