Compliance

Introducing

ShelfMonitor™

Stay on Top of Product Changes

Client Focused Reforms (CFRs) bring higher standards for understanding, assessing, approving, and monitoring all investment products offered to clients. ShelfMonitor helps you meet Know Your Product (KYP) regulatory requirements with ease.

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Out-of-date systems pose suitability risks for clients and reputation risks for advisors.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

Research has shown that every week*

- 192 funds are added
- 21 funds are removed
- 2,041 funds have changes
  - 58 categories
  - 36 names
  - 32 investment objectives
  - 28 investment strategies
  - 1,598 MERs
  - 10 time horizons

* Canadian weekly average for the first five weeks of 2019.

ShelfMonitor™ and KYP Requirements

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

CFRs 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.

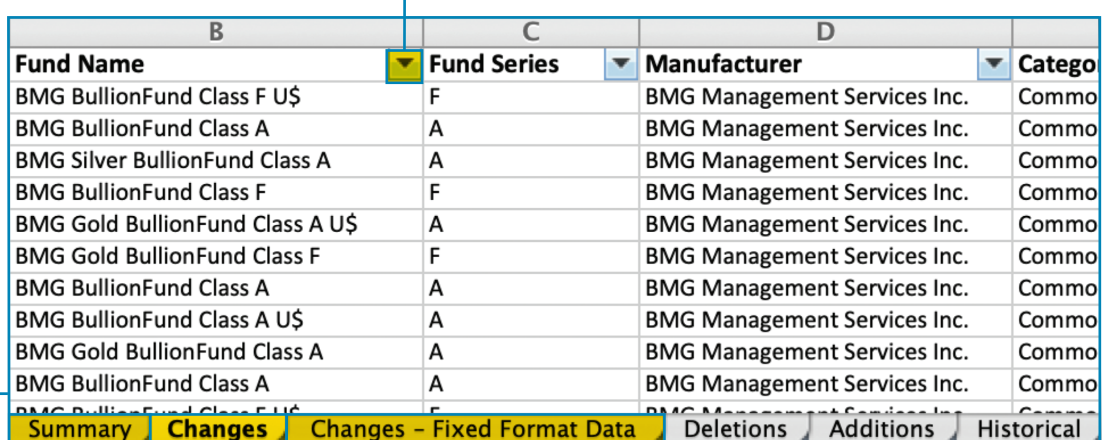
ShelfMonitor™ is the one app that gives multiple departments the ability to streamline compliance procedures and keep back-office operations up to date.

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.

Easily filter through data to view what you need



B	C	D	
Fund Name	Fund Series	Manufacturer	Catego
BMG BullionFund Class F U$	F	BMG Management Services Inc.	Commo
BMG BullionFund Class A	A	BMG Management Services Inc.	Commo
BMG Silver BullionFund Class A	A	BMG Management Services Inc.	Commo
BMG BullionFund Class F	F	BMG Management Services Inc.	Commo
BMG Gold BullionFund Class A U$	A	BMG Management Services Inc.	Commo
BMG Gold BullionFund Class F	F	BMG Management Services Inc.	Commo
BMG BullionFund Class A	A	BMG Management Services Inc.	Commo
BMG BullionFund Class A U$	A	BMG Management Services Inc.	Commo
BMG Gold BullionFund Class A	A	BMG Management Services Inc.	Commo
BMG BullionFund Class A	A	BMG Management Services Inc.	Commo

Access properties of products on your shelf in one place

Keep up with of market trends and gain insights from weekly reports

Monitor changes to all of the products on your shelf

Data is optimized for you to review and for your system to import

Get started on ShelfMonitor today!

Contact us at 1.800.361.9494 or sales@InvestorCOM.com

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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042020