

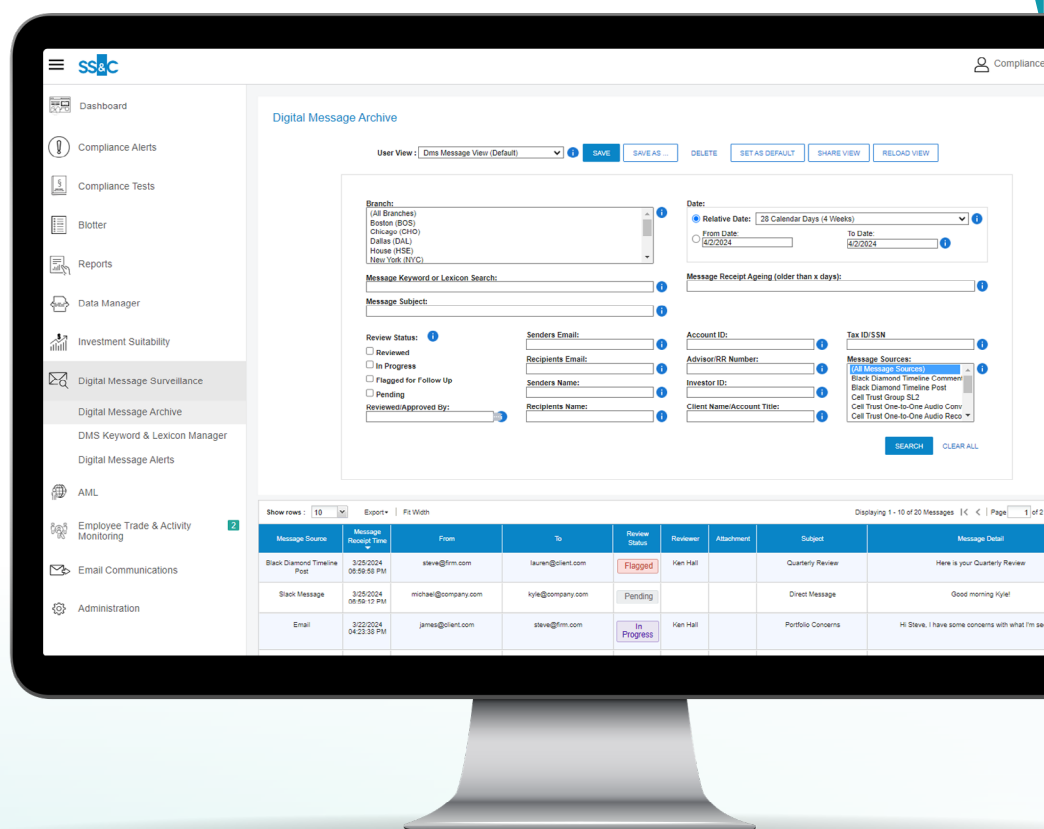
PRODUCT BRIEF

Black Diamond Digital Message Surveillance (DMS)

Survey all digital-based conversations and fully integrate with investor account and advisor information.

Financial service firms rely on connecting with clients. However, today's communication landscape requires wealth management firms to conduct additional monitoring and oversight to satisfy regulators. Understanding the challenges of reviewing digital communications, we created Black Diamond Digital Message Surveillance (DMS) to relieve the data review process.

DMS is a unique compliance module available to SS&C's Black Diamond® Wealth Solutions clients. This highly customizable and comprehensive feature set supports the analysis and archiving of all messages, including in-app messages, as well as client and prospect communications. The holistic tool removes robotic work from compliance teams, allowing them to prioritize regulatory risk management in other areas while advisors continue to build relationships with their clients.



Supports Compliance with:

- FINRA 2210 Communications with the Public
- FINRA 3010 Supervision System
- Investment Advisor Act of 1940 Rule 206(4)-1: Investment Adviser Marketing
- Investment Advisor Act of 1940 Rule 204(2): Books and Records to be Maintained by Investment Advisers
- Security Exchange Act of 1934 Rule 17a-4(b)4

Effortless Digital Message Insights

Focused on advisors in wealth management, DMS provides access to compliance workflows with alerts by funds, jurisdiction or business unit, and compliance case status, and unlimited access to an extensive library of pre-built compliance tests.

Traditionally, communication surveillance has happened in silos. DMS provides Compliance Officers a connected view of the advisor-investor conversation, incorporating the Investor's transaction history, holdings, and a full account view in one place.

Effectual Impressions

DMS leverages a unified compliance system where account and communication data live together. The system provides precise, actionable insights focused on:

Intelligence: Drive accuracy by viewing the work that needs to be done with automated validation checks to minimize errors and streamline the overall compliance workflow.

User Experience: Efficiency in enabling users to smoothly find and access the tools and features they need.

Data: Examine a holistic view of the compliance landscape, including data aggregated from various sources.

FINRA/SEC Expertise: Reduce audit time with tailored reporting filtered down to key words and phrases from investor trade, position, and account records.

Onboarding: Support importing historical email and advisor-investor communication message archives.



For more information

If you have questions or would like to learn how SS&C Black Diamond Wealth Solutions can fulfill your firm's compliance needs, visit sscblackdiamond.com, call 1-800-727-0605, or email info@sscblackdiamond.com.

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