

Press Release: FinTech Introduces Regulatory Collaboration and Intelligence Platform for Asset Managers

January 25, 2019—At [DiligenceVault](#), an NYC-based digital platform for the investment management industry, we are excited to announce the launch of a regulatory module that helps asset managers drive efficiency in preparing various fund filings across different regulators (SEC / CFTC / FCA). It's another step in our vision to digitize and streamline priority reporting for asset managers.

Over 5000 users at investment advisors and asset managers across public and private markets already leverage the DiligenceVault platform to complete investor data requests digitally, whether standardized by industry organizations such as [AIMA](#), [ILPA](#), and [UN PRI](#), or tailored by a specific investor. Our platform empowers asset managers to respond effectively to multiple investors using NLP algorithms while collaborating as a team and reusing centralized content. Eliminating manually intensive copy and paste tasks, and extensive email chains, allows managers to eliminate errors and provide a differentiated and responsive investor service.

Regulators are asking for ever-greater levels of transparency, requiring asset managers to expend great time and effort to provide the necessary information. This experience is similar to investor reporting, where processes are highly manual, data being reported is complex and can include thousands of data points, and requires input from multiple teams and systems within the firm.

“This new regulatory offering will now provide efficiency for asset managers in engaging with two key external stakeholders; investor clients and regulators. Asset managers operate in a demanding work culture, and our offerings help them redesign their work processes to maximize the productive capacity of their employees,” commented DiligenceVault CTO Nitin Khosla.

The screenshot displays the DiligenceVault Regulatory Module interface. On the left, a vertical blue bar contains the text "DiligenceVault". The main interface features a top navigation bar with icons and labels for "My Arrangements" (17), "To-Do / WIP" (2), "Answered" (7), "Unanswered" (52), "Not Applicable" (2), and "Follow-up" (10). Below this, a "SEC Registration" section is active, showing a form with a question: "Are a large advisory firm that either: (a) has regulatory assets under management of \$100 million (in U.S. dollars) or more, or (b) has regulatory assets under management of \$90 million (in U.S. dollars) or more at the time of filing its most recent annual updating amendment and is registered with the SEC". The form has "Yes" and "No" radio buttons. Below the form is a table of changes with columns for dates and change counts. An "Audit Timeline" is shown below the table, with steps: "Note Added" (By Jason Jones, 18 DECEMBER 2018), "Note Added" (By Muneer Amin, 18 DECEMBER 2018), "Approve" (By Meredith Lee, 18 DECEMBER 2018), "Create Alert" (By Jason Jones, 18 DECEMBER 2018), "Review" (By Muneer Amin, A MONTH AGO), and "Resolve" (By William Truth, PENDING). A "STATUS" donut chart is also visible, showing a distribution of items across different stages.

DiligenceVault Regulatory Module for Asset Managers

In addition to helping achieve operational excellence, DiligenceVault adds speed and performance, as well as a user-friendly interface. The platform constitutes a significant step forward in helping asset management firms make collaborative decisions and create a frictionless experience for their employees. To request a demo or pricing, please [Sign Up](#).

About DiligenceVault

DiligenceVault is the first two-sided digital diligence platform for the asset management industry. The platform's user base comprises of (1) allocators and asset owners including leading investment consultants, Fund of Funds, endowments, foundations, bank wealth and private bank platforms, insurance firms, family offices and private and public pension plan sponsors who significantly cut their time to data using DiligenceVault; and (2) mutual funds, hedge funds, and private equity funds who use the platform to collaborate on responding to investor and regulatory information requests.

www.diligencevault.com

Contact: press@diligencevault.com