

Pre-trade compliance

Improve trust, transparency and
service quality

Strengthen your client relationships by ensuring their investments are always aligned with their specific needs.

RedBlack's pre-trade compliance capabilities reduce potential violations, improve operational efficiencies and empower you to consistently increase trust and transparency with your clients.

Maintain pre-trade compliance with:

Access controls

Facilitate governance related to portfolio management, rebalancing and order management with access controls that define multi-level user functionality and permissions across the platform, from users and roles, to policies and rights.

Investment policy monitoring

Flexible monitoring capabilities place up-to-date portfolio compliance information at your fingertips for an unlimited number of policies, including policy overlays for portfolios to validate current allocations and model weights.

Restrictions

Apply firm-wide, account- and household-specific restrictions by classification, security type or security to efficiently manage exceptions to your model strategies prior to any rebalancing or trading activity.

Equivalents

Apply firm-wide, account- and household-specific equivalents by classification, security or cash position, and easily manage similar securities, legacy positions and cash equivalents within your model strategies prior to rebalancing or trading activity.

Review mode

Increase operational efficiencies, reduce errors, and enforce workflows with the Review Mode look-through feature, which produces a final audit of the orders generated in any portfolio prior to executing orders from your trade blotter.

Cash actions

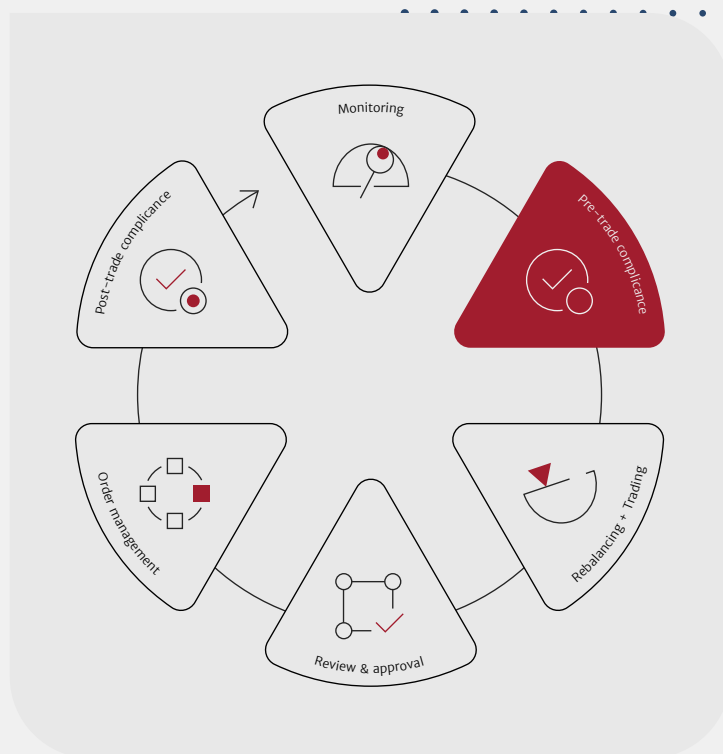
Use cash simulations to generate orders with the addition or exclusion of portfolio cash to simplify cash management at the account, household and firm level.

Target overrides

Limit the proliferation of models resulting from target exceptions that exist across households by overriding and redirecting model targets for classifications, securities or cash allocations using relative or absolute adjustments.

Global and portfolio specific rebalance settings

Easily define and influence the behavior of trading to suit the strategies of your firm in terms of rebalance tolerances, minimum trade sizes, wash sales, tax events, short-term redemptions, and other order generation parameters.



Why choose RedBlack for pre-trade compliance?



Apply a variety of restrictions to comply with specific client requirements



Monitor drift across accounts and households, and receive alerts for projected post-trade drift prior to trading



Customizable, professionally designed client-facing reports



Create unlimited investment policies based on categories and asset classifications



Easily define and enable mutual funds purchase restrictions



Automatically allocate assets to preferred account types in a household based on tax sensitivity



Substitute assets if a buy cannot be made in a preferred account type



Manage short-term redemptions fees for mutual funds or ETFs at the custodian and fund level



Automatically rebalance around positions that exceed a fee amount threshold



Define minimum trade sizes to adhere to preferred lot sizes or automatic rounding tolerances



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