



Regulatory Technology Driven by Data. Backed by Service.

Investment Monitoring

Position Limit Monitoring – Client Success

A Global Tier 1 Investment Manager

CSS was selected as the strategic partner to help a client move from a tactical to a strategic approach to compliance. The first step was to improve their manual position limit monitoring process. Additionally, the client's compliance team worked closely with the operations team to facilitate trading. The operations team was starting a three-year internal API project to get the compliance team more integrated with the front office trading desk. The goal was to make position limit monitoring more seamless and efficient to enable their traders to enter new positions without any risk or regulatory implications.

The Client:

A leading global investment management and research company delivers a comprehensive range of investment strategies across the capital structure. The firm brings together a wide range of insights, expertise and innovation to advance the interests of their clients around the world with over \$600 billion in AUM.

Business Challenge:

The firm did not have an automated system in place for position limit monitoring, and managed position limits in-house through manual spreadsheets and a third-party data provider. As the client started to trade more commodities, they began having concerns whether their current process was scalable with their long-term growth strategy.

The client was also leveraging a third-party vendor to source limits but was missing open interest calculations and other key reference data.

Business Results:

CSS's Position Limit Monitoring solution streamlined their investment monitoring process, provided important reference data points and allowed the team to set up schedules, spot effective dates and their own warning system so they were alerted when approaching their limits. The client was also able to customize their views and headroom reports to separate and evaluate both hard and soft limits.

Value Realized:

The client now has a centralized location and a seamless headroom reporting process for their entire product suite. With CSS's automated spot forecasting capability, the traders and compliance team now have peace of mind to mitigate regulatory risk, eliminate manual processes and increase operational efficiencies, reduce compliance costs and achieve transparency across once siloed teams and disparate systems in North America, EMEA and Asia-Pacific.