

Portfolio Compliance



FTT automatically monitors client-defined portfolio and security level characteristics and alerts when they fall outside of any combination of regulatory guidelines, investor policy or manager process and philosophy. Further, via intelligent filtering, our system alerts when undesired trends and patterns develop in exceptions/violations. Below is a partial list of guidelines available:

- Portfolio Pumping. Window Dressing
- Groupings and concentrations tests
- Change alerts for portfolio/holdings values
- ERISA and IRS requirements
- Securities allowed/not allowed
- Prohibited transactions with affiliates
- Prohibited or illiquid securities
- Security level attributes
- Pricing of portfolio risk
- Leverage
- Federal securities laws
- Size of position
- Short positions

For additional information on Financial Tracking Technologies' automated, modular compliance capabilities, please contact Kelly Vales at 203-340-2356 x805 or kvales@financial-tracking.com.