

# Intermediary Oversight Essentials Solution Set

*As a leader in intermediary oversight solutions, Delta Data has helped asset managers overcome the following challenges—among many others*

- Time spent collecting and reviewing intermediaries' audit documents
- Inefficiencies caused by manual logging of expected invoices and manual tracking of pending agreement changes with Excel spreadsheets and pivot tables
- Inadequate audit capabilities that prevent easy access to historical records with all data points, tasks, and transactions
- Disparate systems with data elements spread across multiple platforms, leading to time-consuming processes to produce board and management reports
- Physical documents and other labor-intensive processes hinder efforts to streamline workflows
- Resources constrained by oversight tasks that could be outsourced and managed by industry experts

## An efficient and effective intermediary oversight program should:

**Satisfy the requirements of SEC Rule 38a-1**, which requires that a fund has policies and procedures to oversee the compliance of its intermediaries

**Consolidate disparate data systems** for more timely and accurate reporting

**Reduce inherent risk** that comes with manual processes, freeing personnel to focus on more strategic, value-added work

**Maintain compliance with SEC Rule 22c-2** addressing frequent trading activities

# Our Solutions

## Fee Management

*Delivers consistent intermediary fee processing*

- Error-free invoices flow directly into payables management
- Straight-through processing
- Configurable payment data

## Counterparty Management

*Ensures regulatory compliance*

- Centralized portal supports the workflow for all counterparty interactions
- Pre-configured with data for widely used registered fund distributors

## Integrated Reporting & Analytics

*Facilitates seamless management and board reporting*

- Brings in key metrics from all parts of oversight program
- Monitor historical trends in distribution payments, 22c-2/trade analytics, and intermediary oversight due diligence reviews

## Intermediary Insight

*Saves time and resources*

- In-depth review and analysis of intermediary audit reports
- Reporting with point-by-point intermediary comparisons that automatically highlights exceptions and gaps

## Start simplifying your intermediary oversight processes

*Delta Data's Intermediary Oversight solution set offers leading tools in the mutual fund industry for managing and streamlining your oversight program.*



**Access a comprehensive solution set of fee management, relationship & counterparty management, reporting & analytics, and managed services.**

**Scale up** your intermediary oversight program with efficient implementation

**Future-proof** your back-office processes and workflows

Delta Data's expertise in developing fully integrated technology solutions allows asset managers to manage their intermediary oversight program more efficiently so they can concentrate on maximizing returns and maintaining full compliance while minimizing risk and scaling efficiently.

These solutions streamline operations, reduce manual entry, automate workflows, and enhance accuracy, freeing fund management teams to focus on strategic, value-added activities.

