SOLUTION SHEET:

Investment Book of Record

INDEPENDENT BOOK OF RECORD PROVIDES THE SOURCE OF TRUTH

The d1g1t enterprise wealth management platform can serve as an Investment Book of Record (IBOR) to independently keep track of cash, positions, and corporate actions, and reconcile any data element automatically against external sources, whether that is a market data vendor, the custodian or another source.

To comply with securities and compliance regulatory requirements, the platform can be used to:

- record the investment decisions made
- prepare and maintain trade orders and trade blotters
- maintain records to evidence the reconciliation of client portfolio positions against other sources such as the custodian records, and generate exception reports daily

Risk Management and Mitigation

Designed to provide the consistent management of position data, firms use the platform to implement rigorous processes to permit the identification and segregation of client cash, securities, and other property. With d1g1t, wealth management firms and portfolio managers can ensure accurate daily reconciliation of all position and trade data to identify and resolve inconsistencies quickly and easily.

Key Benefits:

- Meet Regulatory & Compliance Mandates
- Gain Efficiencies & Productivity
- Successfully Pass Audits
- Single Source of Truth for Investment Analytics

Automated Workflows and Processes

d1g1t supports the automatic handling of dividend entitlements, fees/cash management, bond accruals, and splits. The platform can model complex corporate actions (e.g. spin-offs, exchanges, etc.), trade order management, and fills. Additionally, the platform can perform auditable performance number computations and independent computation of position quantities, market values, and book values (including tax lots).

The platform is available in English and French.
For more information on the d1g1t wealth management platform, email us at **getintouch@d1g1t.com.**

Comprehensive Reporting and Reconciliation

Automatically generate state-of-the-art, expert exception, and reconciliation reports to easily reconcile the book of record against other sources, such as the custodian records, and identify discrepancies quickly and easily and take actions to remediate them.

In addition to the automatic handling of bond accruals and maturities, firms can generate reconciliation reports to identify data drifts the moment they happen.

Accountability and Transparency

The ability to comment on orders and transactions at the time of entry reduces friction and improves compliance with procedures. For example, advisors have access to clients' profiles, goals, IPS and more all in one place, enabling them to document directly in trade orders the reason behind the investment recommendation or decision, to maintain a consolidated audit trail of compliance with KYC, KYP and Suitability requirements. The platform's audit trail capabilities support the enforcement of processes. Plus, the ease of accessing and extracting the information requested by auditors makes the process faster and easier.

Data Integration

The platform is data agnostic with the ability to ingest data from multiple sources such as custodians, market data providers, etc.

About d1g1t

d1g1t is a leading wealth management technology provider that helps RIAs, Multi-family offices, Broker Dealers, Custodians, and Bank Advisor Networks transition to a digital business model. Our award-winning Enterprise Wealth Management Platform is designed to transform the patchwork of legacy systems with an integrated platform that drives scale and operational efficiencies across the organization. Powered by an institutional-grade performance and risk engine, d1g1t provides on-demand analytics consistently used across integrated workflows for reporting, billing, trading, compliance, and client engagement activities. d1g1t provides advisors and their clients with the best digital experience available in the market, enabling firms to elevate the quality of their advice and demonstrate its value to clients.

Learn more at **www.d1g1t.com.**