

Title (en)

PORTFOLIO INVESTMENT GUIDELINE COMPLIANCE AND FINANCIAL FUND ADMINISTRATION SYSTEM

Title (de)

SYSTEM ZUM VERWALTEN VON FINANZIELLEN GUTERN UND NACHKOMMEN VON RICHTLINIEN FÜR PORTFOLIO-ANLAGEN.

Title (fr)

SYSTEME DE GESTION DE FONDS FINANCIERS ET DE CONFORMITE AUX DIRECTIVES EN MATIERE D'INVESTISSEMENT DE PORTEFEUILLE

Publication

**EP 1212711 A1 20020612 (EN)**

Application

**EP 00921568 A 20000331**

Priority

- US 0008642 W 20000331
- US 12727399 P 19990331
- US 51637700 A 20000301

Abstract (en)

[origin: WO0058900A1] A system (1) for portfolio compliance and administration receives data concerning financial instruments that comprise a financial fund (4) from a collection of information sources. Tests are designed and applied to the financial data to confirm that the fund is being managed in accordance with predetermined rules. The user may correct or update the financial data but this history of changes is recorded, allowing a complete audit. The financial data (or any reports based thereon) can be provided to the user in a number of formats (711, 712), such as on a computer display, in a printout or over a global computer network, such as the worldwide web. The user is notified automatically by urgent means when certain test results are obtained by the system. The fund may be tested for compliance with the fund rules (7), tax reports (8) may be created and a complete audit trail developed without importing the same data numerous times.

IPC 1-7

**G06F 17/60**; G06F 17/00; G06F 19/00

IPC 8 full level

**G06F 17/00** (2006.01); **G06F 19/00** (2006.01); **G06Q 40/06** (2012.01)

CPC (source: EP)

**G06Q 40/06** (2013.01)

Designated contracting state (EPC)

AT BE CH CY DE DK ES FI FR GB GR IE IT LI LU MC NL PT SE

DOCDB simple family (publication)

**WO 0058900 A1 20001005**; AU 4186700 A 20001016; CA 2369296 A1 20001005; CN 1353842 A 20020612; EP 1212711 A1 20020612; EP 1212711 A4 20020731; JP 2003504701 A 20030204

DOCDB simple family (application)

**US 0008642 W 20000331**; AU 4186700 A 20000331; CA 2369296 A 20000331; CN 00808296 A 20000331; EP 00921568 A 20000331; JP 2000608322 A 20000331