

Regulatory Compliance Service

ENSURING STRICT REGULATORY COMPLIANCE

- PROXY
- CORPORATE ACTIONS
- PROSPECTUS SERVICES
- FUND REGULATORY REPORT DISTRIBUTION
- MIC PLATFORM
- FULFILLMENT SERVICES
- REGULATORY COMPLIANCE SERVICE**
- TURN-KEY E-DELIVERY & ARCHIVING
- STATEMENTS & TRADE CONFIRMS

Mediant provides clients with the highest standard of performance and regulatory compliance. At the core of Mediant's commitment to regulatory compliance is its Regulatory Compliance Service.

Our Regulatory Compliance Service ensures that Mediant's solutions meet all of our clients' regulatory needs. We stay at the forefront of the regulatory landscape, adopting changes into our processes and technology in order to provide direct benefits for our clients.



WHAT

We Deliver

Business Rules

Mediant Provides Comprehensive Business Rules surrounding applicable regulatory requirements for each service area: Proxy, Post Sale, Regulatory and Bankruptcy.

Regulatory Updates

Mediant publishes the Securities Operations Regulatory Update, a monthly guide to pending regulatory changes relevant to securities operations, and topical Regulatory Alerts.

Regulatory Support

Mediant consistently engages with regulators and advocates for the benefit of its clients, reviews regulatory changes and implements changes as necessary. Clients benefit from our expertise and assistance in assessing and implementing changes.



THE

Mediant Difference

Daily regulatory and compliance support.

Helpful tutorials, memorandum, guides, templates, and expertise.

Mediant's comprehensive business rules are built into software technology and operations. The business rules support clients' supervisory personnel when reviewing real-time distribution data through Mediant's MIC platform.

Dedicated partner who engages with regulators and advocates for the benefit of our clients.

Mediant publishes the Securities Operations Regulatory Update, a monthly guide to pending regulatory changes relevant to securities operations, and topical Regulatory Alerts.

THE Benefits



Direct access to regulatory compliance specialists



Monthly, informative regulatory updates based on expert research



Comprehensive assistance in assessing and implementing regulatory changes