

Your System for Asset & Wealth Management made in Switzerland

Breach Management in Allocare AMS

With the Breach Management module in Allocare AMS, breaches can be tracked workflow-controlled and can be evaluated at any time for audit purposes.

1 Creation of Breaches

Investment limits can be checked and saved automatically or manually. Breaches are automatically generated in the event of limit violations. The breach list, reports on new breaches and internal info messages prevent a rule violation from remaining undetected or being forgotten.

8 History and Reporting

The history of all border checks and border violations can be queried ad hoc or periodically by report at any time, e.g. for compliance or audit checks. A clear breach factsheet can be created for each breach with details and the progress of activities.

2 Classification & Assignment

Breaches can be classified based on rules and assigned to the responsible users. All breach data is stored centrally on the breach in an audit-compliant manner. Additional docu additional documents, a description of the violation or deadlines can be added manually.

7 Closure of the Breach

If a boundary violation is resolved or sufficiently justified and accepted, the breach can be closed. This gives it the status closed. Closed breaches are historicized and remain in the database.

3 Info Message

Info messages are automatically sent to the assigned portfolio manager. The messages contain a link to the breach. This can be called up directly. The deadline and instructions for action can also be included.

6 Reporting to Compliance

In the case of reportable border violations, the breaches can be reported to the responsible compliance office with all documents and the entire course of the conversation, as well as the measures taken. This report can be made automatically or manually.

4 Statement and Measures

The portfolio manager has all violation data centrally in the breach. They can see the origin of the violation and take appropriate measures. Additional documents can be added to the commentary. He forwards the commented breach to the responsible office for review.

5 Review of the Breaches

Based on the comment and the measures taken, the responsible user assesses whether the breach is sufficiently justified or must be rejected to the portfolio manager.

Working Selection	Method	Value	Current Value
Mustermann Hans 1 - Allocation (Detail) - Bonds CHF			
Asset Category = Bonds	(Value %)	15.00 .. 25.00 (+/-10.00)	24.01
Currency = CHF			
Mustermann Hans 1 - Allocation (Detail) - Bonds Foreign Currency			
Asset Category = Bonds	(Value %)	10.00 .. 20.00 (+/-10.00)	6.83
Currency -> CHF			
Mustermann Hans 1 - Allocation (Detail) - Equities Switzerland			
Asset Category = Equities	(Value %)	20.00 .. 30.00	24.93
Risk Country = CH			
Mustermann Hans 1 - Allocation (Detail) - Equities Foreign			
Asset Category = Equities	(Value %)	10.00 .. 20.00 (+/-10.00)	29.98
Risk Country -> CH			
Mustermann Hans 1 - Allocation (Detail) - Real Estate Switzerland			
Asset Category = Real Estate	(Value %)	0.00 .. 5.00	4.46
Risk Country = CH			
Mustermann Hans 1 - Allocation (Detail) - Commodities			
Asset Category = Commodities	(Value %)	0.00 .. 5.00	5.71

Breach B-1085 Closed

Portfolio: Mustermann Hans 1
 Client: Mustermann Hans 1

Reference External: Mustermann Hans 1

Origin: Statistics Calculation
 Type: Positive
 Date: 30.01.2024 - 30.01.2024

Constraint: Allocation (Detail) Constraint Type: Docu

Class: Please check allocation to commodities. Limit is 5% (value %)

Response: Commodities ETF scored 20%, total value above 5%. Sell order placed.
 ETF position closed, commodities value decreased, new value% +2%

Closing Reason: Commodities ETF scored 20%, total value above 5%. Sell order placed.
 ETF position closed, commodities value decreased, new value% +2%

Updated by	Action	Status	Conversation
30.01.2024 15:25	Create	New	
30.01.2024 15:26	Promote	Active	
30.01.2024 15:27	Update	Active	
30.01.2024 15:30	Update	Active	
30.01.2024 15:31	Update	Active	
30.01.2024 15:32	Promote	Under Review	
30.01.2024 15:32	Promote	Reviewed	
30.01.2024 15:32	Close	Closed	

Print Date: 30-jan-2024 15:33:02



Our Company

FOUNDATION

2001

EMPLOYEES

50+

INSTALLATIONS

50+

COUNTRIES

10+

Allocare AG (www.allocare.com) is an independent Swiss software company and one of the leading providers of asset and wealth management software in the Swiss market. Innovative solutions based on the proven standard software **Allocare AMS** and the browser-based add-on tool **Allocare WEB** are developed exclusively in Switzerland. The clients portfolio consists of more than 50 mostly long-term clients in the banking and wealth management environment in Switzerland and abroad.

Since 2021 the Zurich-based **Allocare Data AG** (formerly numas SA) has been part of the Allocare Group. The fintech company supports clients in data management, in particular family offices and asset managers, offers reporting services and maintains **Allocare CLOUD**, a service and portfolio management platform based on Allocare AMS and Allocare WEB.

Our Products

ALLOCARE AMS

ALLOCARE WEB

ALLOCARE CLOUD



Our Services

- Software Implementation
- Support and Training
- Data Management
- Reporting Services
- Software as a Service (SaaS)

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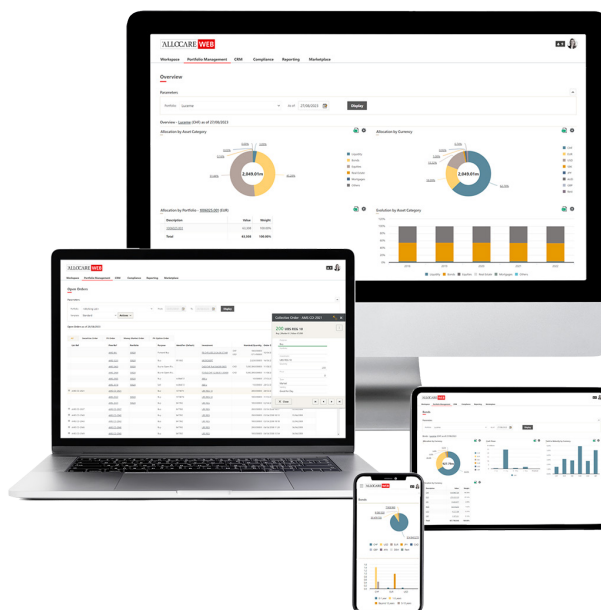
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References

