



Convergence Non-Investment Risk Profiling

Evidence-based manager risk intelligence after initial due diligence

July 2026

Product Description

- Non-Investment Risk Profiling helps banks, investors, service providers, and other counterparties identify, measure, and monitor changes in the non-investment business risk of asset managers. The product converts Knowledge Center data, Unique Manager Group mapping, curated regulatory filings, 65 risk factors, Watch conditions, absolute and relative scoring, and source-backed explanations into a practical monitoring workflow.

Product Benefits

- **Identifies Risk Changes After Onboarding:** shows changes in manager operating, compliance, service provider, regulatory event, and human capital conditions.
- **Creates a Common Risk Language:** uses Higher, Medium, Lower, and Watch labels supported by evidence and peer benchmarks.
- **Supports Documented Action:** helps users acknowledge, accept, or act on changes through client management, pricing, service model, and escalation workflows.

Product Features

- **65-Factor Risk Framework:** organizes observable business conditions across Investment Operations, Compliance, Service Provider, Regulatory Event Exposure, and Human Capital categories.
- **UMG-Level Entity Mapping:** connects related advisers, funds, general partners, affiliates, service providers, and control-group conditions.
- **Explainable Monitoring Outputs:** provides absolute and relative scores, Watch flags, factor drivers, evidence packs, change alerts, files, dashboards, and optional workflow or API delivery.

Primary Use Cases and Delivery

- **Primary Users:** banks, custodians, prime brokers, fund administrators, auditors, institutional investors, consultants, risk teams, and operational due diligence teams.
- **Common Use Cases:** post-onboarding monitoring, counterparty review, client acceptance, relationship escalation, pricing, service model design, and investor due diligence support.
- **Positioning:** the product supplements internal review with evidence-based risk intelligence and does not provide legal, regulatory, accounting, investment, fiduciary, or compliance advice.

To Learn More About Non-Investment Risk Profiling Contact:

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