



Convergence Non-Compliant Securities Monitor (NCSM)

Continuous post-investment intelligence for private investments

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Product Description

- Non-Compliant Securities Monitor helps custodians, broker-dealers, wealth managers, and financial institutions identify private investments that may have become operationally impaired, materially changed, unsupported, or potentially non-compliant after the original recommendation. NCSM converts Convergence-derived measurements into risk scores, confidence levels, transfer opportunity indicators, reason codes, and recommended actions.

Product Benefits

- **Improves Post-Investment Oversight:** continuously monitors private investments after purchase for material business, operational, governance, and disclosure changes.
- **Strengthens Supervisory Workflow:** helps institutions prioritize investments and accounts requiring review, communication, or escalation.
- **Identifies Retention and Transfer Opportunities:** surfaces custody transfer conditions and accounts where material events create risk or commercial opportunity.

Product Features

- **Continuous Monitoring:** reviews private funds, advisers, sponsors, issuers, and affiliates for audit, valuation, regulatory, governance, disclosure, and financial events.
- **Risk Scoring and Reason Codes:** produces Non-Compliant Risk, Material Change, and Investor Impact scores with confidence and supporting evidence.
- **Enterprise Alerts and Workflow:** delivers recurring alerts, dashboards, API feeds, CRM-ready exports, watch lists, reporting, and recommended actions.

Primary Use Cases and Delivery

- **Primary Users:** custodian executives, compliance and supervision teams, operations leaders, wealth managers, advisers, relationship managers, risk teams, and data teams.
- **Common Use Cases:** post-investment monitoring, supervisory triage, investor communication, custody transfer analysis, watch lists, and enterprise reporting.
- **Positioning:** NCSM provides evidence-based decision support and monitoring, not legal, regulatory, accounting, investment, or fiduciary advice.