

PRODUCTS

Global Regulatory Reporting

FUNDS  AXIS

Proprietary and Confidential





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Overview

Funds-Axis supports a broad range of Global Regulatory Reporting requirements.

We enable organisations to rapidly comply with these regulations, without the need to develop costly in-house solutions.

The cost of compliance is significantly reduced through plug-and-play functionality, integrated data availability, automated report production and through availability as a hosted software as a service solution.

Coverage Includes



AIFMD Annex IV



UK FCA Derivative Use



Open Protocol



13F



Form PF



CPO-PQR



Form N-PORT



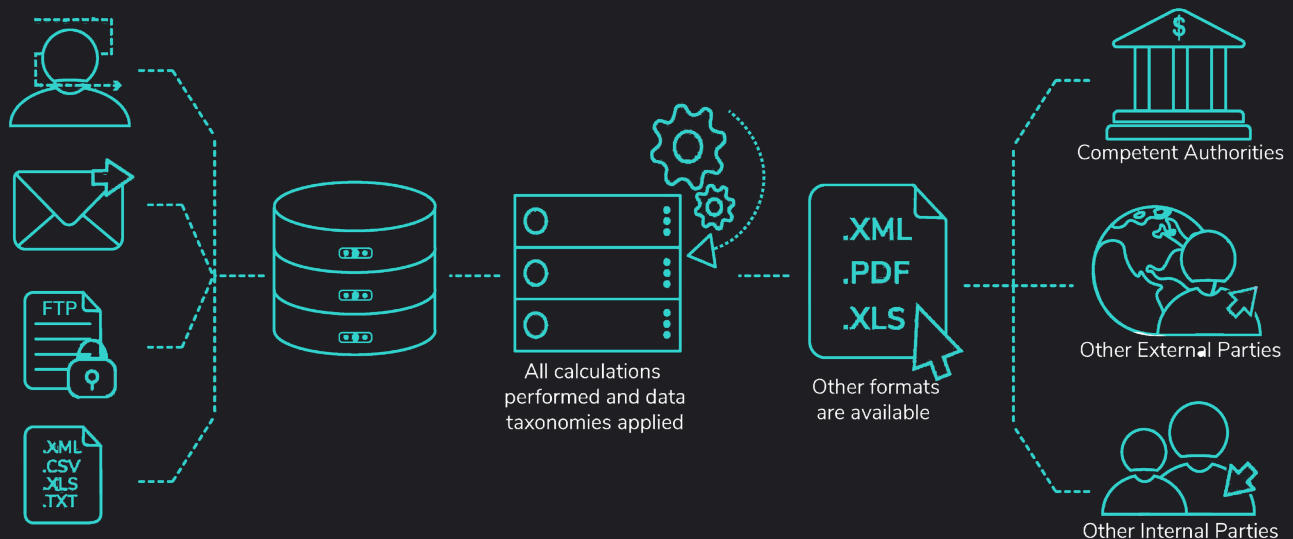
Form N-CEN



SEC Liquidity

Our Regulatory Reporting Solution

The Funds-Axis Cloud Platform performs all the relevant calculations, automatically applies all the relevant data taxonomies and enables one-click generation of the required regulatory reports.



1. Data Capture and Multiple File Input → 2. Central Data Collection → 3. Calculations and Analysis → 4. One-Click Reporting (AIFMD, Form-PF) Re-Use of Data → 5. Internal and External Reporting

How it Works

- \ Holdings, trades, and other data are captured once and re-used for all reporting
- \ Data files are enriched with security and market data
- \ Data taxonomies are applied, consistent with regulatory requirements
- \ All calculations (exposure, liquidity etc) are performed in the system and
- \ Regulatory compliant reports are available at the click of a button.

Key Features

The key features of our regulatory reporting solution includes:

- \ Data collection and aggregation
- \ Data enrichment and transformation
- \ Secure data maintenance for all manager and fund data
- \ All calculations are performed within the solution, including exposure and liquidity
- \ Full audit trail and history
- \ Flexible data upload formats
- \ XML report generation
- \ Integration with leading Administrators
- \ Fully Managed Service available

Funds-Axis Managed Services

We also provide a full managed service in respect of all regulatory reporting. Our team has extensive knowledge of global regulations and experience of filing with different regulators.

Data Operations

- \ Data File Preparation
- \ Data Uploads
- \ Data Quality Management
- \ Data Enrichment
- \ Data Validation

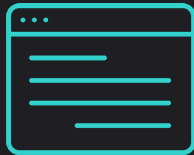
Validation, Testing and Submission

- \ Dashboard Report Management
- \ Governance Checks & Audit Trail for Control
- \ Validation of all Calculations
- \ XML Testing
- \ Submission to Regulators

ATLAS Funds Training

ATLAS contains a comprehensive library of training courses on global fund regulations. It consists of a series of recorded training presentations, plus an array of other training materials. The platform is extremely easy to use with users having the ability to learn at their own pace or to a set schedule.

The key features of ATLAS include:



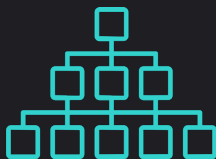
Online Rules Library



Jurisdictional Comparisons



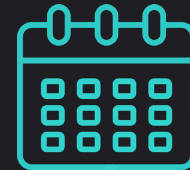
Training Courses



Decision Trees



Regulatory Guides &
Summaries



Regulatory News &
Calendar

The benefits of using ATLAS include:

- \ Access comprehensive regulatory information in one location
- \ Test and build your regulatory knowledge
- \ Track regulatory updates and reporting deadlines
- \ Navigate complex regulatory issues with ease

Our Coverage



Americas

- \ Canada Investment Rules
- \ US 13F Reporting
- \ US 13H Reporting
- \ US Form PF Reporting
- \ US Money Market Funds
- \ US SEC Liquidity Reporting
- \ US 1940 Act Funds
- \ US Form CPO-PQR
- \ US Form N-PORT



UK & Europe

- \ UK Non UCITS Funds
- \ UK FCA Derivatives Use Reporting
- \ EU AIFMD
- \ EU Long Term Investment Funds
- \ EU PRIIPS and KIDs
- \ EU SFTR
- \ EU Solvency II
- \ Ireland Non UCITS Funds
- \ Luxembourg Non-UCITS Funds
- \ Swiss Pension Funds



Rest of the World

- \ Islamic Funds
- \ Nigeria Pension Funds
- \ Hong Kong Funds
- \ Singapore Funds





Global


- \ Open Protocol (OPERA) Reporting
- \ Position Limits (incl. MIFID II)


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