

CIS Asset Eligibility Checks

# CIS Asset Eligibility Checks

FUNDS  AXIS

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## 1. Background

This document will outline the data quality checks relating to collective investment schemes. These reports should be reviewed to identify issues with the additional CIS data available in the system which could potentially impact the regulatory & prospectus rules in the system, as well as impacting the liquidity monitoring in the system.

## 2. HighWire reports available.

The data quality reports can be accessed by clicking on the data quality icon along the toolbar across the top of the webpage.



You should then click on the DQM\_CIS\_Data option to view the CIS data quality reports.

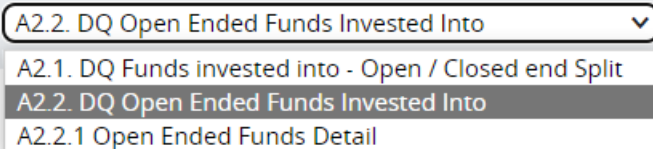
### Data Quality

[DQM General](#)

[DQM CIS Data](#)

[DQM Derivatives](#)

When in the CIS data quality select the second option from the dropdown menu, **A2.2. DQ Open Ended Funds Invested into**



There are 14 data quality reports in total that can be reviewed. These reports will allow you to identify potential issues with the CIS type assigned to a fund, the redemption frequency not being set for a fund, issues with the country of economic exposure of a fund etc.

Below are the data quality reports that are available to review in Highwire regarding CIS.

The below reports will flag any potential data issues with the CIS held across your portfolios. You should review these reports and make any required updates to the manual data management section of Highwire.

Please refer to the document, CIS research, to see which fields in manual data management that you are required to update.

## DQM\_CIS\_Data

A2.2 DQ Open Ended Funds Invested into | Aug 10, 2023 10:05:11 AM

### CIS Data Quality reports

The reports in this module can be used to review the set-up of your funds currently held across all of your portfolios. For these reports closed ended funds and investment trusts are excluded.

#### CIS TYPE: All Funds

CIS Type not populated

CIS Type not populated

0

No Results


CIS Type not set as UCITS but name contains UCITS

CIS Type set as UCITS but name contains UCITS

0

No Results


#### Max investment into other CIS

Max Investment into other CIS not set or populated as 100%

Max Investment into other CIS not set or populated as 100%

assettypename	securityisin	securitydescription	cistype	maxinvestmentinothercis	Count
OPEN ENDED FUND	US46434G1031	ISHARES INC CORE MSCI EMERGING MKTS ETF	1940 Act non-diversified	100	1

1

#### UCITS Equivalent

Instrument is 'UCITS Equiv.' is blank

Instrument is 'UCITS Equiv.' is blank

0

No Results


Classified as UCITS equivalent but looks erroneously populated

Classified as UCITS equivalent but looks erroneously populated

assettypename	securityisin	securitydescription	cistype	is_ucitsequalivent	Count
OPEN ENDED FUND	IE00B1FZS350	ISHARES II PLC DM PROP YLD UCT ETF GBP DIS	UCITS	True	1

QIAIFs classified as UCITS equivalent

5

QIAIFs classified as UCITS equivalent

assettypename	securityisin	securitydescription	clstype	is_ucitsequalent	Count
Funds		Lansdowne ICAV Dev Mkts Long Only C Vg Unhedged G	QIAIF	True	1
	DUM8002	Lansdowne ICAV Dev Mkts Long Only C Vg Unhedged G	QIAIF	True	1
	IE000BN3T0X8	PENTARIS QIAIF PLC GLB LONG TERM EQUITY A USD	QIAIF	True	1
OPEN ENDED FUND	IE00B0D0CN18	INRIS QIAIF PLC BARES US EQUITY F USD DIS	QIAIF	True	1
	IE00BY5Q2G70	PENTARIS QIAIF PLC PHOENIX EQUITY F GBP ACC	QIAIF	True	1

Other

Missing country of economic exposure

0

Missing country of economic exposure

No Results


Country of economic exposure = Ireland, Lux, or Cayman (probably incorrec

1

Country of economic exposure = Ireland, Lux or Cayman (probably incorrect and using Domicile)

assettypename	securityisin	securitydescription	countryofeconomicexposure	countryofeconomicexposure_code	Count
OPEN ENDED FUND	IE0084LSY983	ISHARES III PLC CORE MSCI WORLD UCITS ETF U	Mozambique	MZ	1

Redemption Frequency needs reviewed

0

Redemption Frequency needs reviewed

No Results


Fund Structure set as N/A or Not Defined

0

Fund Structure set as N/A or Not Defined

No Results


Possible ETFs not classified as ETFs

0

Possible ETFs not classified as ETFs

No Results


Funds not approved by business

13

Funds not approved by business

assettypename	securityisin	securitydescription	instrumentapprovedbybusiness	Count
Funds		Lansdowne ICAV Dev Mkts Long Only C Vg Unhedged G		1
	BMG0071J3372USD	ACL Alternative Fund SAC Ltd Shs -A- Abbey Focus F		1
	IE0008H6U6U6	CFM UCITS ICAV - CFM EQUITY CAPPED FUND ACCUM SHS		1
	IE0008H6U6U6GBP	CFM UCITS ICAV - CFM EQUITY CAPPED FUND ACCUM SHS		1
	IE0008T7Z117	PENTARIS QIAIF PLC ROTH'S CHILD & CO WM SUSTAINABL		1
	IE0006WNPXZUSD	WHEB FUNDS ICAV WEB ENVIRONMNT IMPCT USD 112544290		1
	IE000LFRW8W8	CFM UCITS ICAV - CFM IS TRENDS EQUITY CAPPED FUN		1
	IE000LFRW8W8GBP	CFM UCITS ICAV - CFM IS TRENDS EQUITY CAPPED FUN		1
	IE000RW244X0	O'CONNOR EVENT DRIVEN UCITS FUND S2 GBP		1
	IE0008M0KFS31	CFM UCITS ICAV IS TRENDS WD GBP		1
	IE000MGR7N09	PCP SELECTION UCIT TULIP TRENDS UCITS R GBP		1
	IE000MGR7553	TULIP TRENDS FUND (UCITS) V GBP		1
	IE0008N9Z2500	RECORD EM SUST FIN GBP		1