PF-Module – Reporting Solutions

For the Alternative Investment Community Form-PF, CPO-PQR and more...

Key benefits:

- Empowers clients with a cost effective operational platform, ensuring complete transparency with an audit trail, to successfully monitor risks and regulatory requirements.
- Enables clients to view data and processes at every step and ensure data integrity originating from disparate sources and systems.
- Interfaces with fund managers' existing data infrastructure and processes, eliminating the need for expensive customization programming.
- Empowers clients to integrate regulatory reporting process on a single platform, removing manual workarounds, vendor dependency, redundant activities and reducing operational cost.

Form PF Challenges

Private funds and registered investment advisers (RIA) are burdened by the depth and the complexity of the reporting data requirements to comply with the rules mandated by Dodd-Frank Wall Street Reform and the Consumer Protection Act.

Enforced by the Securities and Exchange Commission (SEC) and the Investment Advisers Commodity Futures Trading Commission (CFTC); Form PF and CPO-PQR take fund advisors disclosure far beyond Form ADV. As a result, fund managers must pull together and aggregate large amount of data that is potentially stored across several systems and multiple locations to successfully keep track of systemic risk.

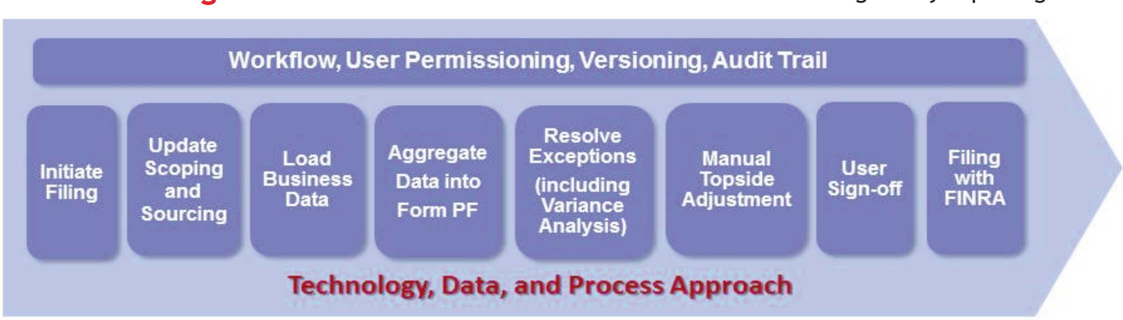
With the new regulatory initiatives, whether it's Form PF, CPO-PQR, Form SEC 13F or AIFMD, asset managers are faced with requirements for transparency, dynamic data, ad-hoc reporting capabilities for both print and on-line reporting.

AxiomSL's Form PF Solution meets Regulatory Requirements

AxiomSL, global leader in regulatory reporting solutions and risk management for over 20 years, delivers a data-driven platform, which meets all filing requirements for Private Funds, Large Hedge Funds and Large Private Equity & Liquidity Funds in addressing all the steps of Form PF from: scoping & sourcing client existing data structures, to aggregations, calculations, and validation rules to XML submission. It is adaptable to clients with minimum in-house IT infrastructure in addressing complex funds and extensive disclosures for investment advisers.

AxiomSL's reporting solution is successfully deployed in a cloud-based or/and on-site environment. With our solution, clients can access and edit data already stored on the virtual server to enrich data records, monitor internal data procedures, and streamline controls & processes to successfully transfer this data to the form. This automated regulatory reporting solution, with a dynamic dashboard showing incidences of non-conformance, delivers the necessary controls and analytical tools to navigate and update critical data to meet disclosure requirements for Form PF and ongoing regulations.

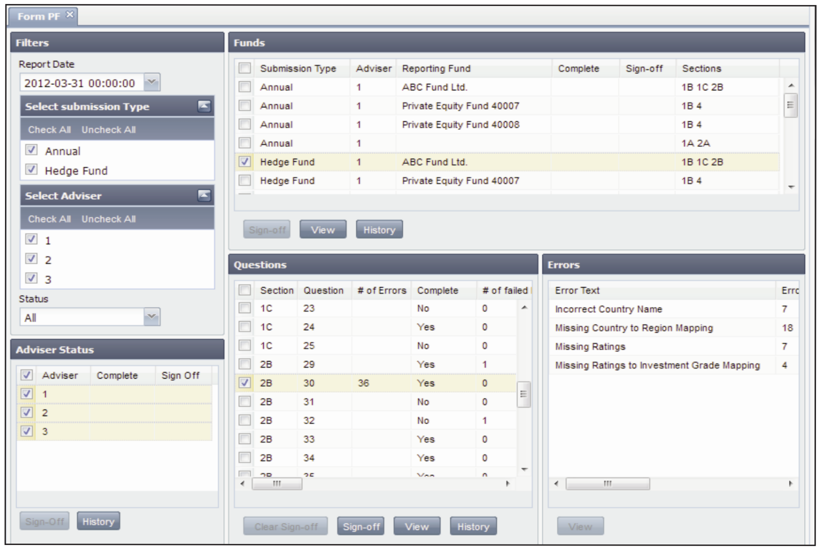
Form PF Filing Process



AXIOMSL™

Features:

- Dynamic dashboard that includes:
  - ✔ data sourcing, issues resolution and electronic submission;
  - ✔ status alerts for any unfinished sections that need to be completed prior to filing;
  - ✔ full transparency – drill down from report to original data sources;
  - ✔ multi-level sign off controls to enable management review of completed report;
- Cloud or on-site deployment capability;
- Data management capabilities with a robust data modeling and full interoperability with client infrastructure;



Form PF Dashboard

- Interface with existing data sources (Advent-Geneva, Investran, VPM, Prime Brokers, etc.);
- Key indicators to monitor gap analysis and identify incidences of nonconformance;
- Seamless integration of sources data models to Visual Business Rules, aggregation results and reports;
- Complete workflow - for automated end to end processing;
- Flexibility and scalability in merging clients' data models;
- Funds scoping and aggregating all RIAs' funds, positions, etc.
- Analytical, Exception & Custom Reporting and features to build additional management reports;
- Complete audit trail of activity on the systems with time and date stamps and user name;
- Input and output of validation check;
- Fully controlled environment based on permissions and role;
- Variance analysis and suite of various reporting options;
- Electronic submission using FINRA XML schema.

Dodd-Frank Act compliance

Form-PF ADV
SEC-13D SEC-13G
CPO-PQR OPERA
SEC-13F FATCA
AIFMD

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