

Form PF

Reporting solutions for the Alternative Investment Community

CHALLENGES—Private funds and registered investment advisers (RIA) are burdened by the depth and the complexity of the reporting data requirements mandated by Dodd-Frank Wall Street Reform and the Consumer Protection Act. Enforced by the Securities and Exchange Commission (SEC); Form PF requires that Investment Advisers disclose large amounts of aggregated financial and operational data from its private funds. This data is likely sourced from multiple systems, Administrators, Portfolio Managers, Portfolio Companies and third parties. The disclosures require exposure by position, counterparties and geography and market risk, liquidity, investor profiles.

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 nonconformance, delivers the necessary controls and analytical tools to navigate and update critical data to meet disclosure requirements for Form PF and ongoing regulations.

A series of dynamic dashboards provides users a complete interface with the processes of scoping their reporting requirements, loading their data, running the required calculations, completing the reports, generating XML files and submitting them to the regulator.

KEY BENEFITS

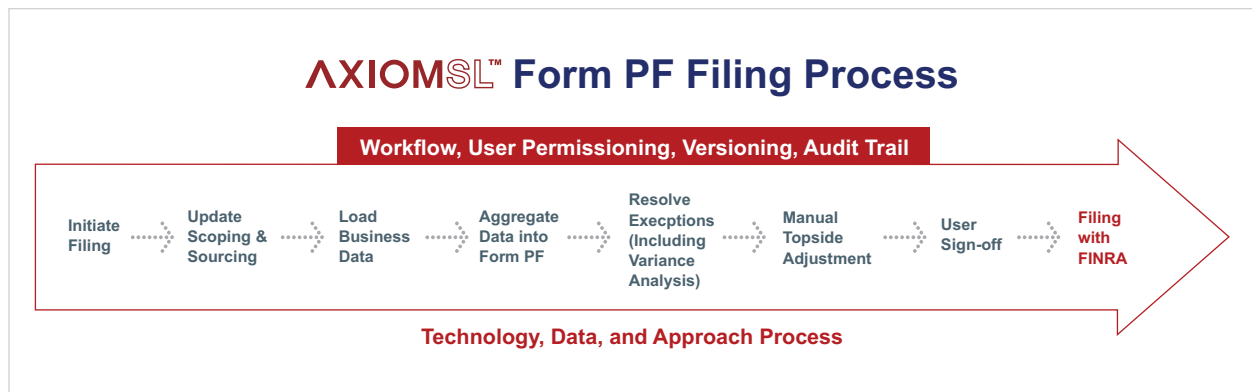
Empowers clients with a cost effective operational platform, ensuring complete transparency with an audit trail, to successfully monitor risks and regulatory requirements

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

AXIOMSL™ Form PF Filing Process



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
 - 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
- Interface with existing data sources i.e. 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 the date stamp and the 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 the IARD PFRD system.