



Compliance Suite™

Compliance Suite platform is a powerful and dynamic technology solution that assists in the preparation and submission of the Securities and Exchange Commission's Form N-PORT, Form N-CEN, Form N-MFP, and Form PF, as well as other regulatory filing requirements, such as Annex IV of AIFMD and CFTC, and NFA Form CPO-PQR. It also features robust risk management, performance monitoring, and pipeline and relationship tracking needs of the asset management industry. This intuitive, easy-to-use, and scalable solution provides the flexibility that is essential for today's rapidly evolving business, risk, and regulatory landscape.

Compliance Suite's user-defined architecture allows the system to be extended to other value-added uses beyond the regulatory filing process. Some common applications include:

- Preparation of other regulatory filings, such as SECs Form ADV (umbrella registration, separately managed accounts, etc.), Form 13F, and TIC Form S
- Fund/portfolio performance tracking and compliance
- Data repository for internal risk management and investor reporting information
- Pipeline tracking
- Consolidation/integration tool for multiple data sources
- Client relationship tracking

Compliance Suite key functionality

- Single data repository tool to automate the collection, storage, calculation, and management of the data required for preparing regulatory filings and providing consistent reporting
- Configurable interface and advisor-specific calculation overrides
- E-filings capabilities, as well as auto-XML generation for other electronic filing systems from within the application
- A customizable filing status dashboard to monitor the overall status as well as the status by section or responsibility
- An end-to-end workflow management solution configurable by advisor and/or filing
- Allows the business user to create the system structure, administer data, and control visual presentation, all through an easy-to-use interface
- Supports the creation of ad-hoc and standardized data queries for reporting without requiring code development effort and changes to the application
- Includes user customizable dashboard and fund performance charting functionality
- Enhanced risk management capability via business alerts and early warning triggers to be configured and e-mailed to users (e.g. liquidity/derivative thresholds)
- Incorporates advanced data integration capabilities that reduces time-consuming and error-prone manual data entry along with a data validation module

Compliance Suite detailed features

- Flexible, user-controlled data architecture that can be extended to adapt to changing internal and regulatory reporting requirements, as well as surveillance and analytical needs to assist in reporting consistency
- A configurable workflow management solution to potentially simplify and reduce the time and cost involved in the filing preparation process, which positions firms to respond to future regulatory requirements through an in-house automated process
- A built-in comparison tool to highlight differences in filing reports from quarter to quarter
- Tracking of user-defined data elements to meet data maintenance and reporting needs
- Ability to view a data snapshot or time series the historical data
- Support for multiple user configurable data views and dashboards with chart and graphing capabilities
- User-defined ad-hoc queries and trend lines that can be saved as templates for improved analysis
- Centralization and consolidation of information from disparate sources into a common, intuitive structure, which can be ideal for performance data or cross-organization analysis that provides a platform for consistent reporting
- Activity tracking and reminders with e-mail notification that can be assigned to individuals or user-group roles

Financial Technology

- User-defined calculations to confirm triggers and statistics and potentially improve reporting efficiency
- Standardized structure and shared calculation templates with override capabilities
- Single database that retains history with robust audit logging capabilities for both data and structural changes
- Automatic relational data drill-down functionality
- Storage of relevant documentation (files) in database
- Data import capabilities from multiple sources, including spreadsheets, text files, internal databases, or automated integration with third-party data providers using custom add-ins
- Data export capabilities to other applications, as well as the ability to expose data query results for consumption by other systems and solutions
- Robust security and user access control (including view access of data)

Compliance Suite utilizes state-of-the-art technology, including:

- Three-tier architecture
- Advanced browser-based user interface built on user-defined data structures and screen layouts, utilizing our proprietary application framework
- SQL Server 2008 R2 (or higher) database
- Fully configurable roles/permissions based security setup to control user access
- Robust security features, including native support for various user authentication schemes, such as Active Directory, Single Sign-On (SSO) Windows Integrated, and Basic/Digest
- Extensible application architecture to support integration with third-party solutions to extend the application's functionality

For more information about Compliance Suite and Deloitte's other Financial Technology products and services, please visit www.deloitte.com/ft or contact:

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