

Axioma Reporting Solutions

ADDRESSING TOMORROW'S REGULATORY REPORTING CHALLENGES

Asset managers face intensifying reporting demands from regulators across the globe that are requiring greater transparency and increased cooperation. With Axioma's integrated straight-through processing solution, clients have a manageable, future-proof way to address these challenges.

Our solution allows asset managers to aggregate, normalize, validate and store all necessary information for filing. We assist our clients with every filing to facilitate a smooth and on-time reporting process. Our technology provides the reporting output in a variety of formats and has details for more efficient reconciliation and review of the submission content. The solution is kept up-to-date by the same experienced team of regulatory practitioners who also assist clients throughout their filing cycles.

REGULATORY REPORTING

Our integrated solution is designed to facilitate the preparation and submission of an expanding and complex set of reporting requirements from global regulatory bodies, including the SEC, CFTC, FCA and ESMA.

The hosted solution includes a:

- Central, secure data repository
- Integrated, proprietary calculation engine
- Dynamic workbench to track report preparation processes
- Approval workflow with single or multiple levels
- The ability to drill down on demand to source data for immediate validation
- The ability to create and validate filings for multiple regulations



KEY BENEFITS:

- Consistency across regulatory reports
- Scalable processes and streamlined data aggregation that allow for rapid expansion into multiple reporting categories
- Proficient regulatory specialists who continuously engage in research, ensuring their knowledge and our system is current
- Enhanced transparency through robust audit trails, exception and difference reporting, and version controls
- Instant drill-downs to quickly understand how calculations are made and what data is being used
- Easy and timely retrieval of stored information

Be prepared for future change. Axioma's holistic approach to regulatory reporting incorporates our expertise in portfolio risk management data management, operations and global regulatory proficiency to provide clients with a platform that's ready to meet any challenges that increased reporting obligations pose.

SUPPORTED REPORTS:

US Reports: Form PF, CPO-PQR, Form 13F

European Reports: Annex IV

Standardized Investor Reporting: Open Protocol

SAMPLE DATA REQUIREMENTS:

Asset Liability Data	Other Fund Information
Assumptions Information	Parallel Funds Information
Borrowings Data	Performance Information
Collateral Data	Portfolio Company Borrowings
Comments Information	Position Level Data
Counterparty Information	Related Persons Information
Counterparty Position Data	Sensitivity Measures
Credit Support Data	Service Provider Information
Financial Portfolio Company Information	Side Pocket and Investor Restrictions Information
Fund Adviser Information	Stress Measures
Fund AUM Data	Transaction Level Data
Fund Level Information	Unencumbered Cash Information
Fund Ownership Data	VaR Information and Measures
Investor Liquidity Information	
Large Position Data	
Non-Financial Portfolio Company Information	