

QONTIGO REPORTING SOLUTIONS

AIFMD Annex IV Reporting

THE ALTERNATIVE INVESTMENT FUND MANAGEMENT DIRECTIVE (AIFMD) presents managers with costly and onerous reporting obligations. Qontigo has extensive experience with complex reporting requirements and is able to assist clients with every step of the filing process to facilitate smooth and on-time reporting.

Benefits

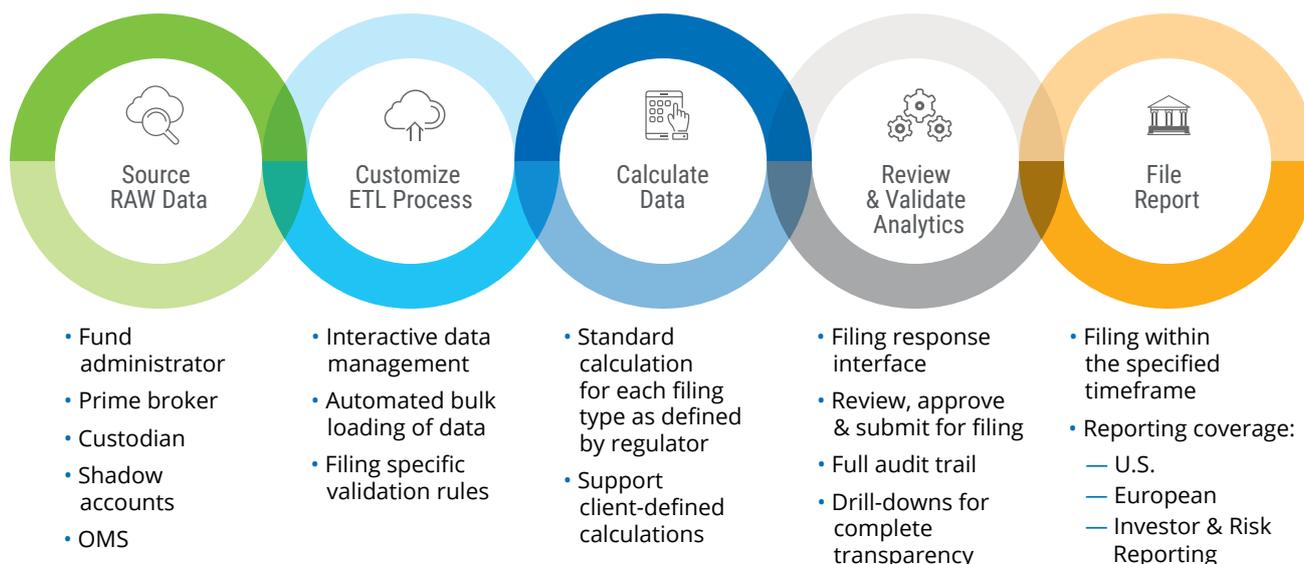
Qontigo Reporting Solutions reduces time spent consolidating and preparing data so that clients are able to pay more attention to reviewing and submitting reports. Unlike other RegTech platforms, Qontigo seamlessly consolidates data from various back office sources, risk systems and regulatory calculations engine.

Key Facts

- 1 AIFMD went in effect on July 22, 2013, throughout the EU. While some Member States have adopted transitional periods, managers are advised to begin developing the necessary compliance systems now.
- 2 Similar in scope to Form-PF but materially different, the AIFMD Annex IV report requires additional enrichment of data in order to populate over 1,600 data points.
- 3 Annex IV reports are due 30 days after period end, or 45 days for fund of funds (quarterly, semi-annually or annually depending on EU AUM).
- 4 The AIFMD mandates AIFMs develop, implement and maintain robust Regulatory Enterprise Risk Management infrastructure to meet the challenge of Annex IV and other risk reporting obligations.
- 5 The reporting template consists of an "AIFM file" containing the information relating to the AIFM to be reported under Articles 24(1) and 3(3)(d) of the AIFMD and "AIF file" containing information relating to the fund ("AIF") to be reported under Articles 24(1) and 3(3)(d), Article 24(2) and Article 24(4) of the AIFMD.

REPORTING TYPE	ASSETS UNDER MANAGEMENT	FREQUENCY	REPORTING PERIOD
SUB-THRESHOLD AIFM REPORTING	<ul style="list-style-type: none"> < €100 or < €500 million unleveraged with 5-year lock up period 	Annual	<ul style="list-style-type: none"> Jan-Dec
OTHER AIFM REPORTING	<ul style="list-style-type: none"> > €100 million or > €500 million unleveraged with 5-year lock up period < €1 billion 	Half-yearly	<ul style="list-style-type: none"> Jan-Jun Jul-Dec
	<ul style="list-style-type: none"> > €1 billion 	Quarterly	<ul style="list-style-type: none"> Jan-Mar Apr-Jun Jul-Sep Oct-Dec
SPECIFIC AIF REPORTING	<ul style="list-style-type: none"> Each AIF > €500 million 	Quarterly	<ul style="list-style-type: none"> Jan-Mar Apr-Jun Jul-Sep Oct-Dec
	<ul style="list-style-type: none"> Each unleveraged AIF investing in non-listed companies and issuers in order to acquire control 	Annual	<ul style="list-style-type: none"> Jan-Dec

The Qontigo Integrated Workflow



The Managed Service

On top of a powerful technology offering, the Qontigo Reporting Solutions managed service takes pain out of clients' hands in the form of a completely outsourced regulatory reporting service, driven by experienced and knowledgeable regulatory experts. We pair the technology platform with our proven managed service, which includes customization of a workflow between Qontigo, client team and any additional vendors needed to produce client reports.

- > **Identification of necessary data sources**, typically originating from a combination of Fund Administration raw output of positional information, prime broker counterparty data and internal client systems.
- > **Build of a custom extraction, translation and loading process ("ETL")** to receive raw data from identified sources and map it to a necessary format in the Data Console.
- > **Validation of data once in the Data Console** and generation of specified report(s).
- > **Maintenance and update of workflows** to account for raw data changes from client input.

Why Qontigo?

Qontigo is the worldwide provider of innovative regulatory reporting, risk management, portfolio construction solutions and indices to financial institutions worldwide. With an emphasis on innovation, outstanding service and open- platform technology, Qontigo partners with its clients to provide more choice, greater flexibility and outstanding performance. Created in 2019 through the combination of Axioma, DAX and STOXX, Qontigo is part of Deutsche Börse Group, headquartered in Eschborn with key locations in New York, Zug and London.

To learn more about Qontigo, please contact us, or visit qontigo.com



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