

Axioma Reporting Solutions

AIFMD ANNEX IV REPORTING

The Alternative Investment Fund Management Directive (AIFMD) presents managers with costly and onerous reporting obligations. Axioma 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.

KEY FACTS

- 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.
- 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.
- 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).
- 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.
- What does the reporting template consist 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.

AXIOMA BENEFITS

Axioma 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, Axioma integrates the powerful Axioma Risk engine to support risk calculations, ensuring that a firm's view and reporting of risk is consistent from front to back.

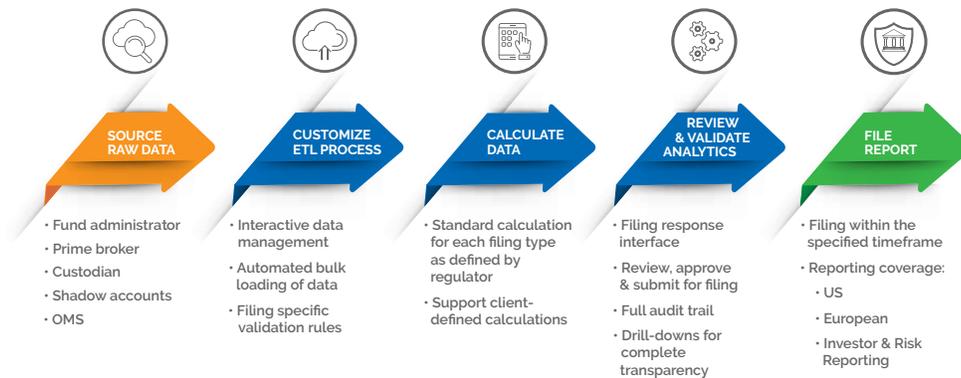
ASSETS UNDER MANAGEMENT	REPORTING FREQUENCY	REPORTING PERIOD
Sub-Threshold AIFM Reporting		
<€100 or <€500 million unleveraged with 5-year lock up period	Annual	Jan. to Dec.
Other AIFM Reporting		
>€100 million or >€500 million unleveraged with 5-year lock up period	Half-yearly	Jan. to Jun. Jul. to Dec.
< €1 billion		
> €1 billion	Quarterly	Jan. to Mar. Apr. to Jun. Jul. to Sep. Oct. To Dec.
Specific AIF Reporting		
Each AIF > €500million	Quarterly	Jan. to Mar. Apr. to Jun. Jul. to Sep. Oct. to Dec.
Each unleveraged AIF investing in non-listed companies and issuers in order to acquire control	Annual	Jan. to Dec.

THE MANAGED SERVICE

On top of a powerful technology offering, the Axioma 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 Axioma, 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.

THE AXIOMA INTEGRATED WORKFLOW



WHY AXIOMA?

Axioma, Inc. is the leading provider of innovative risk-management and portfolio-construction solutions to financial institutions worldwide. With an emphasis on innovation, outstanding service and open-platform technology, Axioma gives its clients more choice, greater flexibility and increased performance. Founded in 1998, Axioma is headquartered in New York, with offices in Atlanta, Frankfurt, Geneva, Hong Kong, London, Melbourne, Paris, San Francisco, Singapore, Sydney and Tokyo.



Axioma at a Glance

 Founded in 1998

 Headquartered in New York with 11 regional offices

 250+ employees

 7000+ professional users

Awards

Buy-Side Market Risk Management Product of the Year – Risk.net Market Technology Awards 2018

Appeared on the Chartis RiskTech100® 2018, a ranking of the world's most significant risk and compliance technology companies

Risk Management System of the Year – 2017 Global Investor Investment Excellence Awards

Sebastian Ceria, CEO, was named to Institutional Investor's Tech 40 List of "Financial Technology Leaders" for the 4th consecutive year – 2017

Contact us to learn more about how Axioma can help you better manage risk and enhance your investment process.

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