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Compliance Suite™

Compliance Suite is a web-based regulatory reporting technology solution that assists in automating the preparation and submission of:

> - Form PF (SEC)
> - Form 13F (SEC)
> - Form N-PORT (SEC)
> - Form N-CEN (SEC)
> - Form N-MFP(SEC)
> - Annex IV of AIFMD (ESMA)
> - Form CPO-PQR (NFA)
> - CTA-PR (CFTC)
> - TIC Form S (FRB)
> - FR Y-11/2314

This easy-to-use 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 for other value-added uses beyond the regulatory filing process. Some common applications include:

- Preparation of Form ADV
- Fund/portfolio performance tracking and compliance
- Data repository for internal risk management and investor reporting information
- Consolidation/integration tool for multiple data sources

Key Functionality

- ✓ Question level transparency into system calculations and source data
- ✓ Calculation overrides to account for interpretations of rules or datasets
- ✓ Automatic generation of source data reconciliation to filing results
- ✓ Multi-period filing comparison and threshold reporting
- ✓ Inline commenting / chat box
- ✓ Multi-fund/multi-question review options
- ✓ Static data automatically inherited from filing to filing
- ✓ E-filings and auto-XML generation for other electronic filing systems from within the application
- ✓ A customizable filing status dashboard to monitor the overall status by section or by user responsibility
- ✓ An end-to-end workflow management solution
- ✓ Supports the creation of ad-hoc and standardized data reporting without code development
- ✓ Enhanced risk management capability via in-app business alerts and early warning triggers e-mailed to users (e.g. liquidity/ derivative thresholds)
- ✓ Advanced data import and validation. No templates needed

Platform Features

- Dashboard views of data users can define throughout the application
- User-defined ad-hoc and trend line reports that can be saved as templates and re-used for improved analysis period over period
- Front-end ETL allows users to define import maps, schedule auto-imports and auto-import from other databases
- A built-in multi-period comparison tool to highlight differences in data records
- Transparency into each data point, calculation and source data
- Flexible, user-controlled data architecture that can be extended to adapt to changes ranging from from new data fields, internal calculations and reporting requirements to monitoring and analytical needs
- Ability to view a data snapshot or time series the historical data
- Centralization and consolidation of information from disparate sources into a common structure, ideal for performance data or cross-organization analysis that provides a platform for consistent reporting
- Security permissions based on user / user roles for read/write access throughout
- Audit trail tracking system wide as-of-date changes by user ID
- Activity tracking and reminders with e-mail notification that can be assigned to individuals or user-group roles

Platform Features (cont.)

- User-defined calculations to confirm triggers and statistics and improve reporting efficiency

- Standardized structure and shared calculation templates with override capabilities

- 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)

Technical Features

- A web-based platform with advanced browser-based user interface built on user-defined data structures and screen layouts, utilizing a proprietary dynamic application platform

- Cloud-hosted or on-premise solution

- Extensible application architecture to support integration with third-party solutions to extend the application's functionality

- Robust security features, include support for user authentication schemes such as SAML2, OpenID Connect, Active Directory, etc. and multi-factor authentication

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

Jason Johnson
Managing Director | Deloitte Advisory
Deloitte & Touche LLP
+1 303 294 4228
jasojohnson@deloitte.com

Pete Joyce
Product Manager | Deloitte Advisory
Deloitte & Touche LLP
+1 704 227 7899
petejoyce@deloitte.com