

# Fundsquare product catalog

## REGULATORY SERVICES

| REF. |  |
|------|--|
| 1.   | <b>Funds</b>   |
| 1.1  | <p><b>Regulatory package for Luxembourg Funds</b></p> <p>Meet your regulatory requirements via the e-file.lu platform, which offers improved and structured communication with Commission du Secteur Financier (CSSF) &amp; the Banque Centrale du Luxembourg (BCL) for:</p> <ul style="list-style-type: none"> <li>Fund registration and maintenance: <ul style="list-style-type: none"> <li>Tables CSSF: O 1.1 , O 4.1, O 4.2, O 1.2      Tables BCL: S1.3, S1.6, S2.13, SbS</li> </ul> </li> <li>CSSF 15/624 long form reports and management letters</li> <li>CSSF 15/633 financial information by management companies</li> <li>CSSF 08/376 SICAR financial information</li> <li>AIFM Reporting (filing)</li> </ul> <p><b>Regulatory disclosure to investors (CSSF 08/371) (CSSF 09/423)</b></p> <p>Sending legal documentation (prospectus, annual reports, KIIDs,...) to the CSSF &amp; publication on the "Référentiel de la place" established by Fundsquare (ex Finesti )</p> <p>Collect different types of information via multiple channels in various formats and publish on the Fundsquare Web portal to contribute to the transparency and visibility of Luxembourg investment funds:</p> <ul style="list-style-type: none"> <li>Static data (code, names, legal structure, launch date, third party, ...)</li> <li>Dynamic data (NAVs, fiscal figures, dividends, ...). Data feed (NAV) to the principal Data Vendors only</li> <li>Documents (fact sheets, application forms, corporate actions, ...)</li> </ul> <p><b><u>Complete package operated by a single provider.</u></b></p> |
| 1.2  | <p><b>UCITS IV Notification <u>for Luxembourg Funds</u> - CSSF 11/509</b></p> <p>Luxembourg UCITS have to submit a notification letter with a package of documents to the CSSF to be transmitted to the host member state authorities:</p> <ul style="list-style-type: none"> <li>Secure transmission platform</li> <li>Collect, compile and send the requested documents for a notification package</li> <li>Data filters and functional checks</li> <li>Follow-up functionalities and return messages</li> <li>Pre-fill option of notification letter</li> </ul>   |
| 1.3  | <p><b>Publication &amp; Transmission documents to authorities</b></p> <p>Collect/Management/ Publication / transmission to authorities: the Efile-light platform &amp; sending service enables insertion, publication and sending to host authorities of updated and additional documents:</p> <ul style="list-style-type: none"> <li>Customisation of the e-mail text sent to each regulator / Access to a complete set of dashboards / Registration &amp; distribution matrix</li> </ul> <p>Solution for:</p> <ul style="list-style-type: none"> <li>UCITS IV: notification Light (new share class) &amp; documents updates.</li> <li>AIFMD: Registration support, passporting services &amp; Reporting (filing)</li> </ul>  |
| 1.4  | <p><b>AIFM reporting</b></p> <p>Graphical User Interface to generate forms for reporting AIFM and AIF (xml files submitted to the CSSF). <i>Data entry forms are provided by AMFine Services &amp; Software.</i></p>   |
| 1.5  | <p><b>Circular CSSF 08/371 &amp; 09/423 - Transmission <u>Luxembourg funds document</u> to CSSF</b></p> <p>Meet your regulator requirement via the e-file.lu platform, which enables improved and structured communication with CSSF</p> <p><i>(Service operated by another third party than the service provider in charge of the regulatory package)</i></p>   |

# Fundsquare product catalog

REF.

## 2. Other reporting

|     |   |
|-----|---|
| 2.1 | Collection and transmission of regulatory reporting to authorities (CSSF, BCL, Investigating Judge,tax administration, ...)   |
|     | <b>Module 1:</b> TAF MIFID - Transactions in Financial Instruments  |
|     | <b>Module 2:</b> GUI: TAF MIFID ( (Graphical User Interface to complete form)   |
|     | <b>Module 3:</b> FINREP - Prudential financial reporting scheme   |
|     | <b>Module 4:</b> COREP - Prudential reporting scheme regarding capital adequacy   |
|     | <b>Module 5:</b> BCL Statistics   |
|     | <b>Module 6:</b> Security by Security   |
|     | <b>Module 7:</b> Balance of payments  |
|     | <b>Module 8:</b> PFS (professionals of the financial sector)  |
|     | <b>Module 9:</b> Securitisation vehicles - BCL 2014/236   |
|     | <b>Module 10:</b> Payment institutions (EDP)  |
|     | <b>Module 11:</b> Electronic money institutions - CSSF 11/522   |
|     | <b>Module 12:</b> Issuing companies - BCL 2014/17   |
|     | <b>Module 13:</b> Payments Data Collection (BCL 2015/20)  |
|     | <b>Module 14:</b> Secured Electronic Reporting with the Luxembourg office of investigating judge - Circular 13/566  |
|     | <b>Module 15:</b> Secured Electronic Reporting with the Luxembourg Financial Intelligence Unit (FIU - CRF)  |
|     | <b>Module 16:</b> Management companies Circular 15/633  |
|     | <b>Module 17:</b> Circular (CSSF15/624) - Credit institution  |
|     | <b>Module 18:</b> Special enquiries - ESP (CSSF 15/604)   |
|     | <b>Module 19:</b> FATCA Reporting – module for Filling entities (Depositor) for Secured Electronic Reporting with the Luxembourg Tax administration - Circular ECHA - n° 3: FATCA |
|     | <b>Module 20:</b> CAA Reporting – Secured Electronic Reporting with the Commissariat Aux Assurances (CAA) - Circular 15/10  |
|     | <b>Module 21:</b> Statistical data collection for insurance corporations (BCL 2015/239)   |
| 2.2 | <b>FATCA reporting transmission to Authorities</b> (Administration des Contributions Directes)<br>by ReportingFI  |

# Fundsquare product catalog

## INFORMATION SERVICES

| REF.  |   |
|-------|---|
| 3.    | <b>Publication &amp; Dissemination</b>  |
|       | Send data or documents to recipients identified by the fund or management company: <ul style="list-style-type: none"><li>• Manage your fund universe, your subscription list to distributors, platforms, individuals</li><li>• Generate and distribute data or document packages based events</li><li>• All data processes are fully traceable: from collection, to events triggering the dissemination</li></ul> |
| 3.1   | <b>Static data</b> (Codes, names, commission structure, cut off,...)  |
| 3.1.1 | <b>Optional loop back service for Static data</b><br>consistency tests between the transmitted data and the data displayed to data vendor agreed with the client.   |
| 3.2   | <b>Dynamic data</b> (NAVs, fiscal figures, dividends, ...)  |
| 3.3   | <b>Documents</b> (prospectuses, KIIDs, annual reports, ...)   |
| 4.    | <b>Data feeds</b>   |
| 4.1   | <b>Static data</b> (code, names, minimums, commission structure, cut off, ...) <ul style="list-style-type: none"><li>• Received data packages</li><li>• Managed by data consumers</li><li>• Based on complete data of Fundsquare fund universe</li></ul>  |
| 4.2   | <b>Dynamic data</b> (NAVs, fiscal figures, dividends, ...) <ul style="list-style-type: none"><li>• Received data packages</li><li>• Managed by data consumers</li><li>• Based on complete data of Fundsquare fund universe</li></ul>  |
| 4.3   | <b>Documents</b> (prospectuses, KIIDs, annual reports, ...) <ul style="list-style-type: none"><li>• Received data packages</li><li>• Managed by data consumers</li><li>• Based on complete data of Fundsquare fund universe</li></ul>   |
| 4.4   | <b>Market Data Intelligence (all fund domicile)</b><br>Fund Industry Ranking report   |

Fundsquare product catalog

| REF. |  |
|------|--|
| 5.   | WEB services   |
| 5.1  | <p><b>PREMIUM access to Fundsquare web portal</b></p> <p><b>Documents, static and dynamic data</b><br/>Search data with cumulative multi-criteria: by name, codes, country of jurisdiction, promoters, classifications, investment policy, return as well as search by third parties, etc.</p> <p>Real-time access to fund information</p> <ul style="list-style-type: none"><li>• static and dynamic data, documents</li><li>• historical prices, dividends and taxes</li><li>• Data extraction in xls file</li></ul>                               |
| 5.2  | <p><b>White labelling services</b></p> <p>Integrate fund data and documents directly into your website:</p> <ul style="list-style-type: none"><li>• Simplified information management</li><li>• Real-time updates on your site</li><li>• High added-value information for your clients</li><li>• Self-servicing interface to configure products</li><li>• Easy process to register and to define subscriptions</li><li>• Load data universe by XLS file</li><li>• Follow the clients and their subscriptions via online views and reports.</li></ul> |
|      | <p><b>White labelling Static data</b> (Codes, names, commission structure, cut off,...)</p>  |
|      | <p><b>White labelling Dynamic data</b> (NAVs, fiscal figures, dividends, ...)</p>  |
|      | <p><b>White labelling Documents</b> (prospectuses, KIIDs, annual reports, ...)</p>   |

# Fundsquare product catalog

## ORDER MANAGEMENT SERVICES

| REF. |  |
|------|--|
| 6.   | <b>Funds/Management Companies</b>  |
| 6.1  | <p><b>Membership fees</b><br/>Collect multi-sources of <u>order referential data (cut off time, share class currency,..)</u> through multiple channels in multiple formats and publish on Fundsquare Web portal.</p> <p>Transaction on Fundsquare platform for management company funds.<br/>           + REPORTING &amp; STATISTICS SERVICES : easy and transparent access to fund/ distributor flows and trends via standardised reporting as well as online access to the platform.<br/>           + PREMIUM access to Fundsquare web portal (only for clients' own scope of instrument)</p>  |
| 6.2  | <p><b>Order routing and confirmation</b></p> <ul style="list-style-type: none"> <li>• Real-time order routing from fund distributors to fund/transfer agents</li> <li>• Real-time order and confirmation notifications from fund/transfer agents to distributors</li> <li>• Real-time reporting and communications from fund/transfer agents to distributors.</li> <li>• Translation services</li> </ul>   |
| 6.3  | <p><b>Order routing for non-member distributors</b></p> <p>Transaction (excluding fax) from non-member distributors introduced by the management company on its own funds.</p>   |
| 7    | <b>Data Consumers &amp; Order Givers</b>   |
| 7.1  | <p><b>Membership fee</b></p> <p>+ REPORTING &amp; STATISTICS SERVICES : easy and transparent access to fund/ distributor flows and trends via standardised reporting as well as online access to the platform</p>  |
| 7.2  | <p><b>Order routing</b></p> <p><b>Order routing for financial transactions</b> - subscriptions, redemptions, transfers, switches</p> <p>If Fundsquare <u>has an agreement with the Fund</u> for the routing of subscription, redemption, transfer or switch orders sent by the Fund's investors.</p> <p><b>Order routing for non-financial transactions</b> - STNP(*), cancellation, reject from Fundsquare and Statements</p> <p>If Fundsquare <u>has an agreement with the Fund for this service.</u><br/>           (*) STNP means Sent To Next Party: an option available in SWIFT messages enabling the sender to receive acknowledgement from the last party (Transfer Agent) receiving the message</p> <p><b>Order routing</b></p> <p>If Fundsquare <u>does not have an agreement with the Fund for this service.</u></p> |