Compliance and Regulatory Reporting Utility for Alternative Investments

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For more information please contact CRU@PivotData.Com

11 Orchard Ct. Suit B
Alamo, CA 94507
Phone: 925-263-2291

A Comprehensive Compliance Suite

CRU is a database and reporting platform providing the ability to aggregate, normalize and translate data into the required reporting output for various regulatory needs.

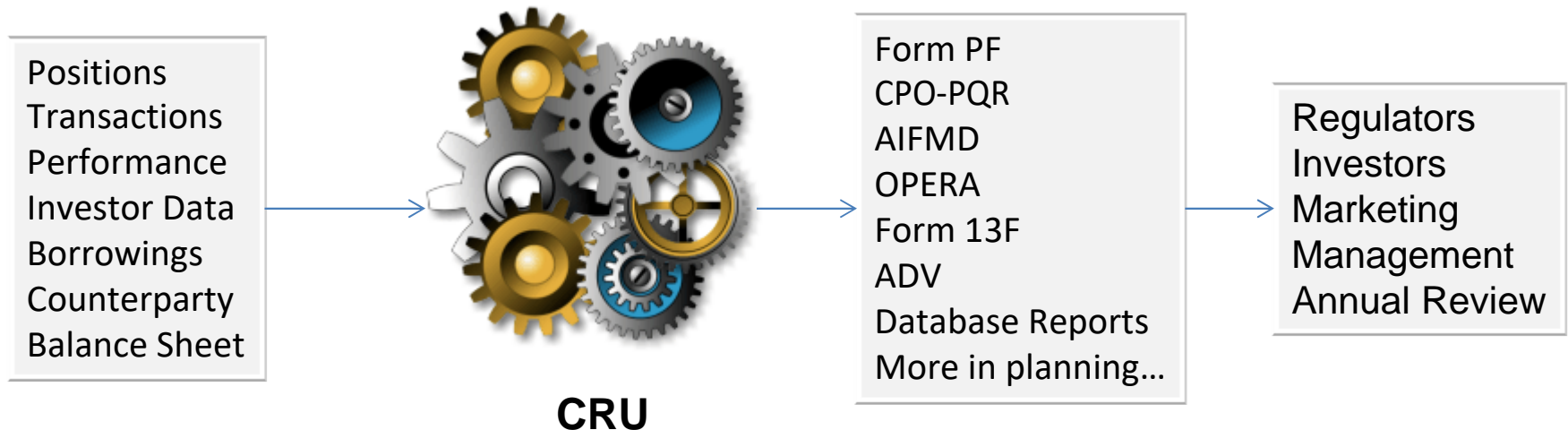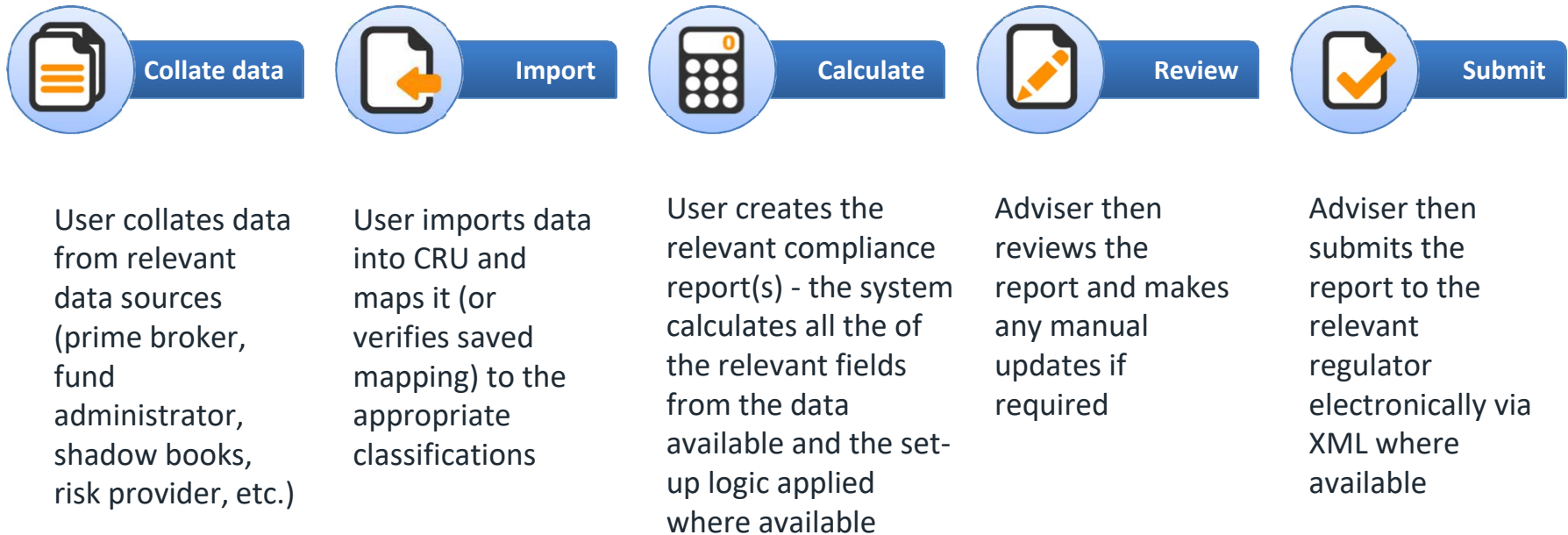|	
Regulatory Coverage	• Form PF, Form CPO-PQR, and AIFMD. Coming soon…OPERA, Form ADV, FATCA, and 13F • Customizable compliance task tracker
Ease of Use	• Data source agnostic import and data mapping • Calculations and auditable edits • One button reporting
Partnerships	• Investor Analytics for risk information • Global Perspectives for AIFMD Consulting
Clients Types	• Private fund advisers, fund administrators, compliance consultants and accountants
CCO Portal	• Track regulatory tasks and due dates • Generate automated e-mail notifications • Generate annual review and other reports

Integrated Accounting, Compliance and Reporting

- **Single data depository:** Final CFO approved touch points aggregated and normalized to assure consistent reporting across regulatory reports, investor reports, management reports and marketing.
- **Any data:** Integrated approach that is data source agnostic. Efficient and cost effective – not tactical or "big iron."
- **User control over mapping:** CRU provides unique interface to read source data files and map fields and data elements to the CRU regulatory reporting database for fast and easy set up and ongoing process.
- **CCO Portal:** Provides customizable compliance checklist, calendar, notification and document management features to organize and assure control over the CCO's entire compliance platform.

Positions	Form PF	Regulators
Transactions	CPO-PQR	Investors
Performance	AIFMD	Marketing
Investor Data	OPERA	Management
Borrowings	Form 13F	Annual Review
Counterparty	ADV	
Balance Sheet	Database Reports	
	More in planning…	

CRU

Five Step Process to Regulatory Reporting

CRU provides a simple five step process to transform raw data into the appropriate reports and submit them to the regulator

Collate data	Import	Calculate	Review	Submit
User collates data from relevant data sources (prime broker, fund administrator, shadow books, risk provider, etc.)	User imports data into CRU and maps it (or verifies saved mapping) to the appropriate classifications	User creates the relevant compliance report(s) - the system calculates all the of the relevant fields from the data available and the set-up logic applied where available	Adviser then reviews the report and makes any manual updates if required	Adviser then submits the report to the relevant regulator electronically via XML where available

Task Manager: CRU's Set-Up Tool

Quick and **easy setup** of adviser, funds, related persons, service providers and authorized users

Users **import data in its original form** (positions, transactions, and other required data) from their own files

CRU offers an easy to use **interface for mapping** and memorizes the fields and data mapping to automate future data classification and normalization

View data files and load status, create and **run clean database reports** for investor, marketing and other internal needs from one centralized consistent data set

Compliance Suite: Report Editing and Filing

Consistent format for viewing each regulatory report

- **Status:** Dashboard of funds set up and completion status for each required section
- **Sections:** Filter to view each fund by section and question grouping, data drill-down for easy calculation review and question approvals
- **Reports:** Audit trail of all manual entries, compare prior filings, and print reports
- **Filings:** Set up new filing, create draft filings, compare prior filings, run test filings, e-file final version

- **Help:** User guides, official instructions, glossary, and FAQs

Data Drill Down

- **Data drill down** allows user to verify and validate the data that was used to calculate the answers to various questions

Question by Question Instructions and Formulas

- **Formula drill-downs** are available for all products to assure full transparency into the calculations used to answer specific questions as well as access regulatory guidance and official instructions.

- **Flexibility** has been built-in to allow the user to customize output – such as user defined RAUM, borrowings, mappings, etc.

CCO Portal: Command and Control Center

- **Dashboard** for all compliance tasks and reporting
- Create your own **calendar and checklist** based on your compliance manual and workflow
- Generate **automated e-mail notification** to users for status reports and coming due dates
- View/download/print all files that have been imported for efficient reference and **data retrieval**
- Provides efficient **audit/exam preparation** and documentation
- Useful for marketing documents approval, storage, and **controls**

Technology Specifications & Support

Hosted Application

- Windows Azure hosting platform operated by Microsoft
- Benchmark standards - SSAE-16, ISO/IEC 27001:2005, for security, reliability, 24x7 availability

Installed Application

- Minimum hardware requirements: Core i3 1.6GHz CPU, 4GB RAM, 25GB
- Software requirements: Windows server, Microsoft SQL Server 2008 R2

ASP.NET MVC 4 Framework, Internet Information Services (IIS) 7.5

- Microsoft Web Matrix Framework

Support

- 15x5 customer support from 8:30am EST to 11:30pm EST via phone or e-mail
- Response time within 4 hours for critical issues / 24 hours otherwise
- Resolution time within 2 business days for critical issues / 10 business days otherwise

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