



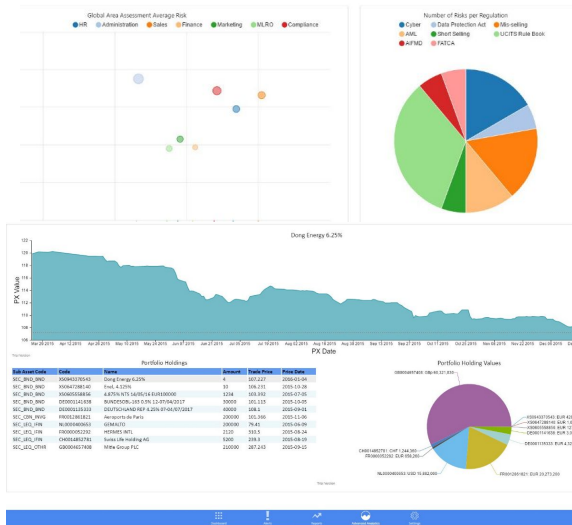
Know your Risk, always be Compliant

AQMetrics provides integrated, robust compliance and risk management software for fund administrators, asset managers, investment managers and broker/dealer companies. Our consolidated platform delivers data management, risk profiling and monitoring, compliance workflows and reports all in cloud based solution.

Compliance Rule Setting	Business Unit	Risk / Regulatory Area	Impact
Yes	Compliance	UCITS Rule Book	None
Yes	Compliance	UCITS Rule Book	Warning
Yes	Administration	Data Protection Act	Warning
Yes	Compliance	UCITS Rule Book	Warning
Yes	Finance	AIFMD	None

Cohesive risk and compliance management

The AQMetrics platform seamlessly integrates multiple sources of data into a common golden data standard. Data is transformed, contextualised and aggregated into a meaningful **business data vocabulary**. Deep analytics run perpetually, building a **realtime picture of risk exposure**, while facilitating instant business readiness for regulatory reporting. **Intuitive business workflows** mirror your firm's business operating model, allowing culture and conduct to be audited at an operational, supervisory and board level.



EU Regulations we monitor:	AIFMD, MAD II, UCITS, MiFID II
US Regulations we monitor:	'40 Act, Form PF, CPO-PQR, Open Protocol, Shareholder Disclosures, Best Execution



Customer Case Studies

Customer A

Global Financial Services Company

Speed to regulatory readiness increased by 3 months

AQMetrics provided an on-demand knowledge base and synopsis of the synergies between AIFMD Annex IV, Form PF and Open Protocol reports. This included the analytics build out required by the Customer across the three areas.

Customer B

Full service domestic and offshore global fund administrator.

FATCA filing within 3 days turnaround

AQMetrics provides a seamless cloud solution to assess, track and report validated FATCA data in a timely manner.

Customer C

Large European financial services firm, with EUR50 bn AUM

Reduction in reporting effort by 5 days per month

AQMetrics provides a Risk Supervisory Control Portal to assess, track and present risk in a meaningful, business-critical manner. This reduces reliance on 'blackbox' legacy macros and provides transparent, auditable risk reporting that can be distributed to all governance levels in the organisation.

Customer D

Global cross border services for alternative investment funds and private clients

Reduction in regulatory filing of 5 man days per fund per filing

AQMetrics provides an on-demand, cloud-based service for AIFMD regulatory reporting. This simplifies cross jurisdictional compliance complexities and provides an efficient, cost effective solution seamlessly filing into regulators in Sweden, Germany, Norway, Denmark, Finland and the UK.

Customer E

Investment advisory, promoter, distributor and investment manager for investment funds

Daily risk control activities reduced by 8 hours per day.

AQMetrics risk monitoring solution incorporates derivatives conversion (including interest rate swaps schedules), VaR reporting, risk management oversight and fee management. This 'always-on' holistic Risk Management solution, brings together pre-defined, advanced analytics with an intuitive alert management workflow.

Customer F

AIFM investment manager specialising in private equity

Reduction in reporting overheads of 20 days per filing period

AQMetrics ingests portfolio valuations data, contextualises the data and aggregates exposures with minimum involvement from the customer. AQMetrics ensures that all reports are submitted directly to the regulators, with final sign off being the only step required from the customer.