Fundsquare product catalog

REGULATORY SERVICES

REF.	
1.	**Funds**

1.1	**Regulatory package for Luxembourg Funds**

	Meet your regulatory requirements via the e-file.lu platform, which offers improved and structured communication with Commission du Secteur Financier (CSSF) & the Banque Centrale du Luxembourg (BCL) for:
	• Fund registration and maintenance:
	    Tables CSSF: U 1.1, O 1.1 , O 4.1, O 4.2, O 1.2
	    Tables BCL: S1.3, S1.6, S2.13, SbS
	• CSSF 15/624 long form reports and management letters
	• CSSF 15/633 financial information by management companies
	• CSSF 08/376 SICAR financial information
	• AIFM Reporting (filing)

	Regulatory disclosure to investors (CSSF 08/371) (CSSF 09/423) Sending legal documentation (prospectus, annual reports, KIIDs,...) to the CSSF & publication on the "Référentiel de la place" established by Fundsquare (ex Finesti) Collect different types of information via multiple channels in various formats and publish on the Fundsquare Web portal to contributes to the transparency and visibility of luxembourg investment funds: • Static data (code, names, legal structure, launch date, third party, ...) • Dynamic data (NAVs, fiscal figures, dividends, …). Data feed (NAV) to the principal Data Vendors only • Documents (fact sheets, application forms, corporate actions, …) **Complete package operated by a single provider.**

1.2	**UCITS IV Notification for Luxembourg Funds -** CSSF 11/509
	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: • Secure transmission platform • Collect, compile and send the requested documents for a notification package • Data filters and functional checks • Follow-up functionalities and return messages • Pre-fill option of notification letter

1.3	**Publication & Transmission documents to authorities**
	Collect/Management/ Publication / transmission to authorities: the Efile-light platform & sending service enables insertion, publication and sending to host authorities of updated and additional documents: • Customisation of the e-mail text sent to each regulator / Access to a complete set of dashboards / Registration & distribution matrix Solution for: • UCITS IV: notification Light (new share class) & documents updates. • AIFMD: Registration support, passporting services & Reporting (filing)

1.4	**AIFM reporting**
	Graphical User Interface to generate forms for reporting AIFM and AIF (xml files submitted to the CSSF). *Data entry forms are provided by AMFine Services & Software.*

1.5	**Circular CSSF 19/708 (ex.CSSF 08/371 & CSSF 09/423)- Transmission Luxembourg funds document to CSSF**
	Meet your regulator requirement via the e-file.lu platform, which enables improved and structured communication with CSSF *(Service operated by another third party than the service provider in charge of the regulatory package)*

REF.	
2. Other reporting	
2.1	Collection and transmission of regulatory reporting to authorities (CSSF, BCL, Investigating Judge,tax administration, …)
	Module 1 & 2 : TAF MIFID & GUI - *no longer in place, replaced by new module 23*
	Module 3: FINREP - Prudential financial reporting scheme
	Module 4: COREP - Prudential reporting scheme regarding capital adequacy
	Module 5: BCL Statistics
	Module 6: Security by Security
	Module 7: Balance of payments
	Module 8: PFS (professionals of the financial sector)
	Module 9: Securitisation vehicles - BCL 2014/236
	Module 10: Payment institutions (EDP)
	Module 11: Electronic money institutions - CSSF 11/522
	Module 12: Issuing companies - BCL 2014/17
	Module 13: Payments Data Collection (BCL 2015/20)
	Module 14: Secured Electronic Reporting with the Luxembourg office of investigating judge - Circular 13/566
	Module 15: Secured Electronic Reporting with the Luxembourg Financial Intelligence Unit (FIU - CRF)**- no longer in place.**
	Module 16: Management companies Circular 15/633
	Module 17: Circular (CSSF15/624) - Credit institution
	Module 18: Special enquiries - ESP (CSSF 15/604)
	Module 19: FATCA Reporting – module for Filling entities (Depositor) for Secured Electronic Reporting with the Luxembourg Tax administration - Circular ECHA - n° 3: FATCA
	Module 20: CAA Reporting – Secured Electronic Reporting with the Commissariat Aux Assurances (CAA) - Circular 15/10
	Module 21: Statistical data collection for insurance corporations (BCL 2015/239)
	Module 22: CRS Reporting – module for Filling entities (Depositor) for Secured Electronic Reporting with the Luxembourg Tax administration - Circular ECHA - n° 4 : CRS
	Module 23: MiFIR - Transactions in Financial Instruments (European Economic Area - Article 26 of Regulation No 600/2014)
	Module 24: AnaCredit - collection of granular credit and credit risk data (ECB/2016/13) - BCL circular 2017/240
	Module 25: Report S 1.12-L - Indirect withdrawal and remittance of banknotes denominated in EUR through an intermediary
	Module 26: CSSF circular 19/709 - quarterly internalised settlement reporting requirements pursuant to Article 9(1) of EU Regulation No 909/2014 (CSDR)
	Module 27: CSSF circular 19/726 - annual and quarterly reporting for Institutions for Occupational Retirement Provision (the "IORP") intended to the European Insurance and Occupational Pensions Authority ("EIOPA"), the European Central Bank ("ECB"),the BCL and the CSSF
2.2	**FATCA reporting transmission to Authorities** (Administration des Contributions Directes) by ReportingFI
2.3	**CRS reporting transmission to Authorities** (Administration des Contributions Directes) by ReportingFI

INFORMATION SERVICES

REF.	
3.	**Publication & Dissemination**
	Send data or documents to recipients identifed by the fund or management company: • Manage your fund universe, your subscription list to distributors, platforms, individuals • Generate and distribute data or document packages based events • All data processes are fully traceable: from collection, to events triggering the dissemination
3.4	**Standard servicing** Collect process from a single source by data types > SSD (Standard Static Data template) > EPT (European PRIIPs Templates) > EMT (European MiFID Template) > Dynamic (NAVs, Dividend, Tax,...) > Documents Monthly Collection for SSD, ETP, EMT Quality management and data integrity controls Monthly Dissemination for SSD, ETP, EMT to 15 platforms maximum (yearly defined) Dashboard & monitoring reports, Fund life Cycle Oversight Publication on FSQ web site (subset of data)
3.5	**Premium servicing** **= Standard servicing** **+** Collect process: from Multi-sources for a same data types **+** Intra-month Collection for SSD, ETP, EMT **+** Dissemination management **+** Intra-month Dissemination for SSD, ETP, EMT to all defined platforms
3.5.1	**Optional premium service - loop back for Static data** consistency tests between the transmitted data and the data displayed to data vendor agreed with the client.

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4.	Data feeds
4.1	**Static data** (code, names, minimums, commission structure, cut off, …) • Received data packages • Managed by data consumers • Based on complete data of Fundsquare fund universe
4.2	**Dynamic data** (NAVs, fiscal figures, dividends, …) • Received data packages • Managed by data consumers • Based on complete data of Fundsquare fund universe
4.3	**Documents** (prospectuses, KIIDs, annual reports, …) • Received data packages • Managed by data consumers • Based on complete data of Fundsquare fund universe
4.4	**Market Data Intelligence (all fund domicile)** Fund Industry Ranking report
4.5	**PRIIPs KID data & documents package (identification, performance, risk, costs, …)** • Collect EFAMA templates based on client targte ISINs • Fees independent from number of updates or multiple files per ISIN • Data quality controls based on data exhaustivity and consistency rules • Data collected via structured communication channel • Data update triggered by data producers

REF.	
5.	**WEB services**
5.1	**PREMIUM access to Fundsquare web portal** **Documents, static and dynamic data** 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. Real-time access to fund information • static and dynamic data, documents • historical prices, dividends and taxes • Data extraction in xls file
5.2	**White labelling services** Integrate fund data and documents directly into your website: • Simplified information management • Real-time updates on your site • High added-value information for your clients • Self-servicing interface to configure products • Easy process to register and to define subscriptions • Load data universe by XLS file • Follow the clients and their subscriptions via online views and reports.
	White labelling Static data (Codes, names, commission structure, cut off,…)
	White labelling Dynamic data (NAVs, fiscal figures, dividends, …)
	White labelling Documents (prospectuses, KIIDs, annual reports, …)
5.3	**Fundlife Cycle Oversight** TheFundlife Cycle (FLC) Service is intended to provide ManCo a dynamic reporting tool -Graphical Business Intelligence - to monitor the lifecycle of their investment fund products and the collaborative activities of their service providers. The dynamic reporting, including Dashboards, KPI and workflows monitoring, shall capture the status of fund launch process, the status of fund commercialization and the status of fund closing process. *The Fundlife Cycle service is subject to additional Terms of Use which are separate and distinct from the Agreement. By signing the present Service Selection Sheet, the Client agrees to be bound by and comply with the aforementioned Terms of Use.*

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ORDER MANAGEMENT SERVICES

REF.	
6.	**Funds/Management Companies**

6.1	**Membership fees**
	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.
	
	Transaction on Fundsquare platform for management company funds.
	  + REPORTING & STATISTICS SERVICES : easy and transparent access to fund/ distributor flows and trends via standardised reporting as well as online access to the platform.
	  + PREMIUM access to Fundsquare web portal (only for clients' own scope of instrument)

6.2	**Order routing and confirmation**
	  • Real-time order routing from fund distributors to fund/transfer agents
	  • Real-time order and confirmation notifications from fund/transfer agents to distributors
	  • Real-time reporting and communications from fund/transfer agents to distributors.
	  • Translation services

6.3	**Order routing for non-member distributors** Transaction (excluding fax) from non-member distributors introduced by the management company on its own funds.

7	**Data Consumers & Order Givers**
7.1	**Membership fee** + REPORTING & STATISTICS SERVICES : easy and transparent access to fund/ distributor flows and trends via standardised reporting as well as online access to the platform

7.2	**Order routing**
	
	  Order routing for financial transactions - subscriptions, redemptions, transfers, switches
	
	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.
	
	  Order routing for non-financial transactions - STNP(*), cancellation, reject from Fundsquare
	  and Statements
	
	If Fundsquare <u>has an agreement with the Fund for this service.</u>
	(*) 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
	
	  Order routing
	
	If Fundsquare <u>does not have an agreement with the Fund for this service.</u>