FUNDS AXIS

PRODUCTS

Summary Risk Indicator (SRI)

Streamline Compliance, Ensure Risk Control

Contents

Solution Overview

Empowering SRI Calculations in a Dynamic World.

In the rapidly evolving regulatory landscape, performing SRI calculations can pose a significant challenge for financial institutions, asset managers, and fund administrators. Inaccurate disclosures carry severe repercussions, impacting financial stability, reputation, and investor trust.

At Funds-Axis, we understand the pressing demands and intricacies of this regulatory environment. That's why we've crafted an industry-leading SRI Calculation Monitoring Solution, relied upon by global industry leaders. It stands as your solution for effortlessly navigating SRI calculations in a world that's constantly in flux.
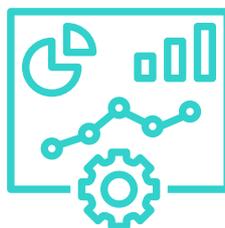
Exploring Our Solution

Navigating SRI Calculations with Effortless Precision

AUTOMATED CALCULATIONS

Precision unleashed upon receipt for seamless SRI compliance

AUTOMATED CONTROLS

Thorough analysis for completeness, reasonableness, and accuracy

MONITORING REPORTING

Comparison to published figures with traffic light warning alerts

Features & Benefits

Effortless Excellence in SRI
Calculation and Monitoring

Features

\ Regulatory-Compliant Calculation Tool
\ Embedded Data Quality Assurance
\ Comprehensive Audit Trails and History
\ Detailed Monitoring Report Generation
\ MRM Flexibility (Daily, Weekly, Monthly)
\ Optional Asset Mix/VaR Calculations
\ Integrated KID and Template Production
\ Automatic MRM/CRM Combination
\ Access to Regulatory Wiki

Benefits

\ Rapid Result Availability
\ Automated and Timely Reporting
\ Early Identification of Issues
\ Full Compliance with Regulatory Standards
\ Informed Decision-Making
\ Cost-Efficient Monitoring Solutions
\ Enhanced Operational Efficiency
\ Streamlined Collaboration with Regulators
\ Continuous Improvement through Updates

How Our Solution Works

Streamlined Data Transformation and Automated Reporting Process.

Our solution revolutionizes your operations by seamlessly transforming and loading your crucial data through our powerful ETL tool. The result? Comprehensive reports that provide a clear snapshot of your SRI status. For an added layer of service, our managed approach interprets and communicates these reports back to you whenever needed.

Data Integration and Requirements

For a quick look at your Data Requirements, see Appendix I – Data Requirements.

Your administrator may provide this data, and we might already have transformations in place. Check Appendix II – Data Integrations for integrated organisations.

Data Transformation

Simplifying Data Transformation with the Funds-Axis ETL Tool:

Extract: Gather data from sources like SFTP, Email, Databases, AWS, and more.

Transform: Employ 150+ built-in actions to modify and manage data.

Load: Dispatch data to destinations such as SFTP, Email, Databases, AWS, and more.
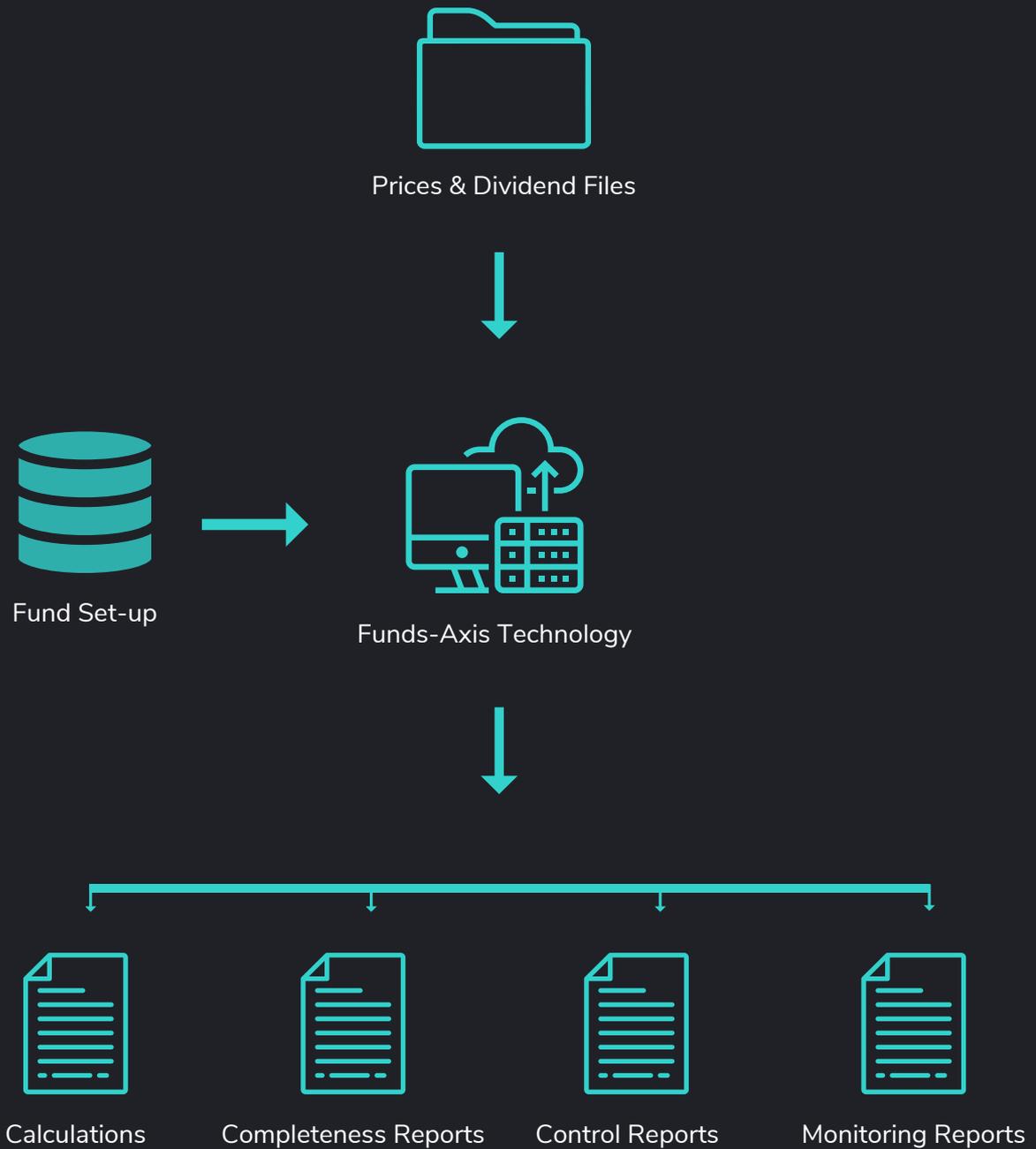
Benefits of ETL Tool

Efficiency: Speed up data preparation and data portal uploads.

Automation: Reduce manual data file preparation across departments.

Productivity: Allocate more time to essential tasks.

Data Quality: Ensure consistently high-quality data outputs.

Data Flow Diagram

Support and Training

Our dedicated support teams, comprised of highly skilled experts, are readily available to assist you with operational and general enquiries related to our products.

We prioritise your success by offering comprehensive guidance on using our products effectively and understanding the regulatory landscape.

Dedicated Support

With each solution, we provide:

- **Dedicated Contacts:** Personalised support through dedicated contacts.
- **Clear Agreements:** Defined responsibilities via service level agreements.
- **Regulatory Updates:** Timely regulatory notifications.
- **Scheduled Meetings:** Regular optimisation meetings.

Training Resources

Access our extensive client-facing Wiki, where you'll find in-depth guides on product usage and the surrounding regulatory framework.

Additionally, we offer a dedicated Wiki page specifically covering Data Requirements, including all our standard file formats.

We're committed to empowering your team with the knowledge and resources you need for success.

Request a Live Demo

Get In Touch Today!

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Explore the Impact of Seamless SRI Calculations.

Reveal the transformative capabilities of our SRI Calculation Monitoring Solution. Connect with us through email or phone, and our team is ready to understand your unique needs and arrange a comprehensive demonstration.

This live demo will showcase the substantial enhancements our solution brings, streamlining your SRI calculations and elevating your compliance and risk management capabilities.

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Appendix I: Data Requirements

Below, you'll find a concise overview of the data files necessary for this solution. If you'd like to explore the complete contents of each file, we'd be delighted to provide a comprehensive demonstration of our solution.

Onboarding Requirements

| DATA TYPE	FILE	SUMMARY
Static Data	CSV/ Excel Template	One-time Excel sheet with basic static data (e.g., launch dates, names, ISINs, benchmarks, and proxy classes).
Historic Shareclass NAV Prices and Dividends	CSV/ Excel Template	One-time Excel sheet with a historical record of Shareclass NAV prices and dividends, either actual or synthetic (covering 5 years and 4 months). If also preparing performance scenarios, then the greater of 10 years or 5 years plus the recommended holding period will be required.

Ongoing Requirements

DATA TYPE	FILE	SUMMARY
Ongoing Shareclass NAV Prices and Dividends	CSV/ Excel Template	Clients/administrators are required to provide file feeds containing all daily Shareclass NAV prices and dividends.
Synthetic Shareclass NAV Prices	CSV/ Excel Template	If applicable, there will be an ongoing update of synthetic data for Shareclasses that remain unlaunched.

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Appendix II: Data Integrations

Onboarding is quick and cost effective through our existing integrations with multiple prime brokers, administrators and data providers.
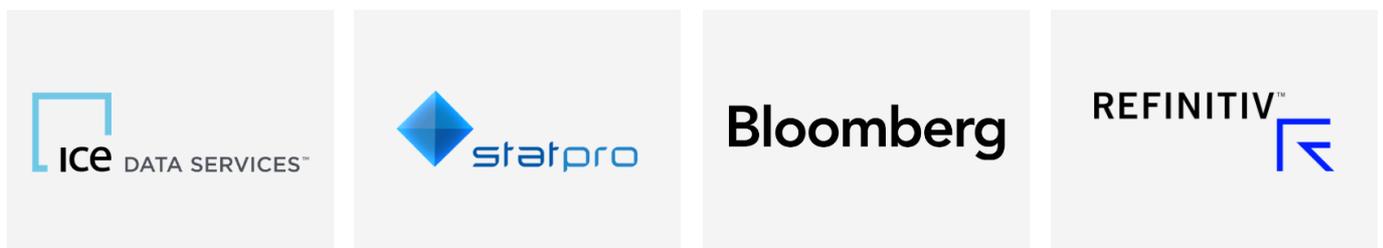
Prime Brokers / Cash Flow Integrations
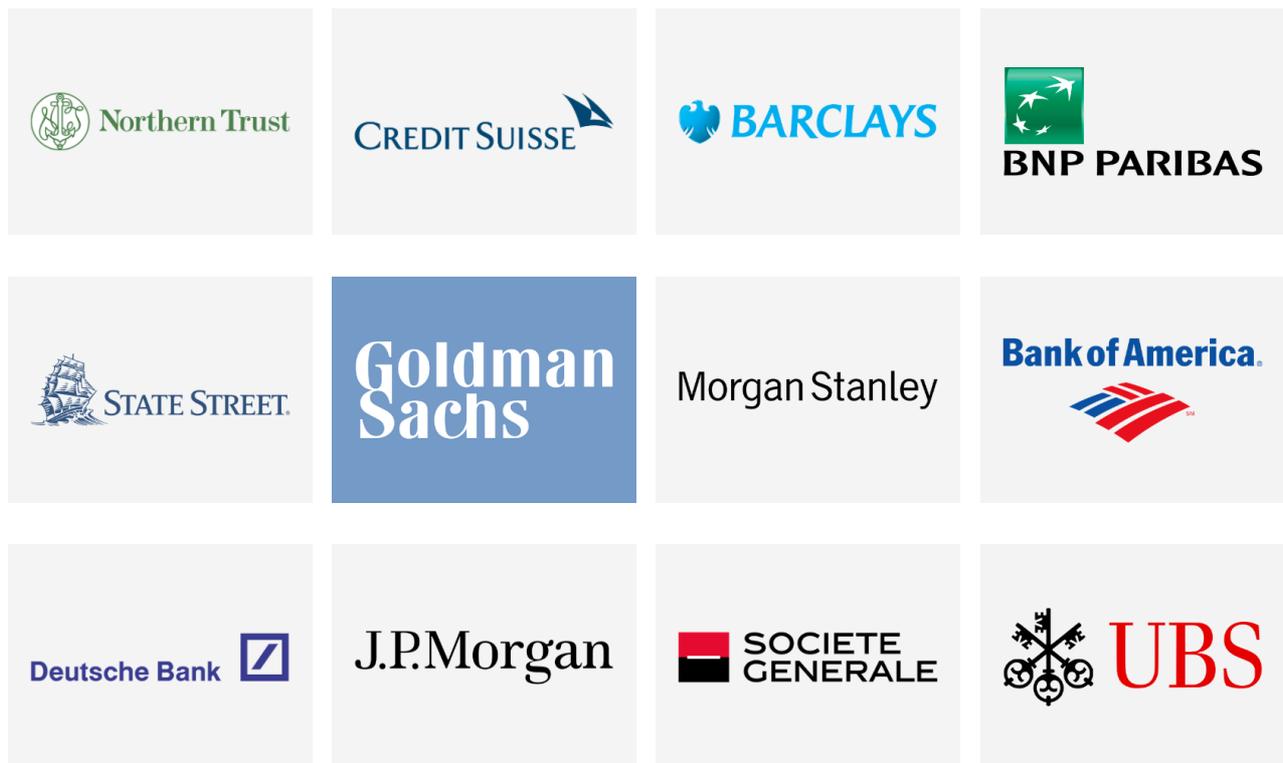
Fund Administrators and Accounting Integrations

Security Data Vendors

Appendix III – Monitoring, Completeness & Control Reports

A **Data Completeness Report** is produced monthly showing whether an actual price was received for each weekday. Where a price is not received, it is either due to a pricing holiday, the price not being sent, or a class launch closure. As part of our service, we will review this and if prices are missing where it is not a pricing holiday, we will liaise with you/administrator to either source the price or understand why. Where needed we will source the missing data, load and re-run the calculations and the reports.

A **Controls Report** is produced monthly highlighting the following:

- Where the MRM has changed day on day
- Traffic light warning system for changes in the VEV
- Observation count monitoring

A **Monitoring Report** is produced monthly highlighting the following:

- The SRI number for each shareclass for the previous 4 months and the Mode of the daily calculations in that period (c. 80 days of calculations).
- Colour coding to indicate:
  - A. Where a new PRIIPs KID is required.
  - B. Where the latest calculation is different to the published PRIIPs KID.

Note 1: Anytime you produce a PRIIPs KIID the mode of the previous 4 months of calculations is used.

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Automate Your SRI Calculations **Today**.

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