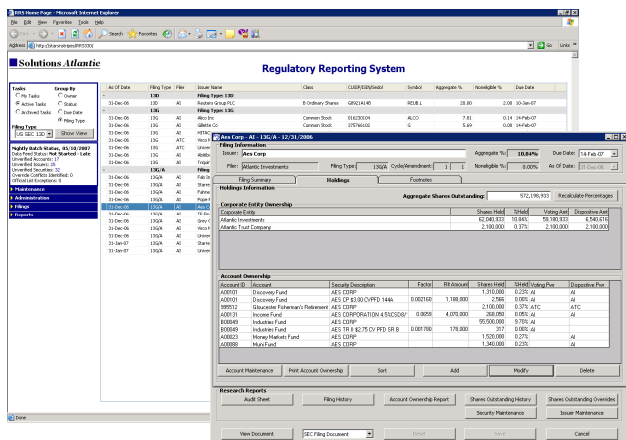


## REGULATORY REPORTING SYSTEM (RRS)

Solutions Atlantic's Regulatory Reporting System automates the regulatory filing process for institutional investors. RRS aggregates and monitors holdings and automatically identifies and generates required regulatory filings. Compliance analysts are able to research, modify, approve and submit the generated filings through the RRS workflow interface.

RRS includes the US jurisdiction reporting module, which supports SEC Rule 13(d) for beneficial ownership 13G and 13D filings and 13(f) for institutional investment manager disclosure Form 13F filings. Also included with the US module are reports for the mandated NASD Rule 2711 and NYSE Rule 472 research analyst disclosure requirements. US filings are correctly formatted for submission to the EDGAR filing system. International reporting modules can be added including:

- Australia (Corporations Act 2001, Foreign Acquisitions and Takeovers Act)
- Canada (NI 62-103 Alternative Monthly Reporting and Provincial Securities Acts Early Warning Reporting)
- France (Article L233-7 and L233-10 of the French Commercial Code)
- Germany (German Securities Trading Act (WpHG) - Part 5)
- Hong Kong (Securities and Futures Ordinance, Part XV)
- Italy (CONSOB Articles 117 and 119)
- Japan (Japanese Financial Instruments and Exchange Law)
- Korea (Securities and Exchange Law)
- Singapore (Companies Act and Securities and Futures Act 2001)
- UK (The Takeover Panel Rule 8 and FSA Disclosure Transparency Rule 5)
- The **Parameterized Jurisdiction Module (PJM)** allows compliance analysts to generate their own rules modules for concise, ad hoc testing and reporting



All international modules include monitoring and testing rules as well as filing document generation and submission formatting. New jurisdiction modules will be added based on client needs.

The Regulatory Reporting System is the perfect product for financial institutions with money management businesses in global markets. Mutual funds, pension funds, hedge funds and wealth management businesses will all benefit from the increased accuracy, risk mitigation and time savings afforded by RRS. In addition, sell-side research analysts are now able to meet the disclosure requirements through RRS' sophisticated money management affiliate data consolidation and aggregation roll-up capabilities.

### Features:

- Aggregates positions across multiple funds, accounts and managers
- Merges multiple source feeds into single consolidated feed with full exception handling and status reports
- Real-time, daily, monthly, quarterly, and annual position monitoring
- Easily maintainable user-defined business rules/securities law operations
- Produces workflow tasks to research, modify and approve identified filing requirements
- Automatically generates required filing documents and provides historical audit trail of filings
- Complete security master asset class model supports accurate convertible security aggregation and testing
- Legal entity model supports complex financial institution structures including all accounts under management

### Benefits:

- Ensures timely and accurate disclosure for compliance with packaged software solution
- Automates the regulatory reporting process and reduces processing time, manual errors, and labor costs
- Enables complex data consolidation, roll-up aggregation and reporting across separate business units
- Allows rapid adaptation to internal and/or securities law changes
- Codifies senior management's response to regulatory disclosure requirements

RRS - The complete system for regulatory filing for institutional investors.