

## The regulatory burden isn't going away.

In today's economic and regulatory climate, you face a tremendous burden to provide ever-increasing reporting and transparency to underlying investors and regulatory agencies. Private fund managers know the challenge of meeting more than a dozen regulatory transparency reporting requirements—sometimes several times a year. With forms varying in length of up to 40 pages covering similar data points, multiple sections requiring over 3,000 data elements, and deadlines that coincide with many other private fund activities, the regulatory task alone can steal countless hours from important revenue-generating and relationship-building activities.

## Our Regulatory Reporting Services allow you to “review” instead of “do.”

Our full reporting services can help ease your reporting burden so you can focus on what counts. A component of our regulatory-compliance platform, Regulatory Reporting provides a transparent, best-in-class systematic approach to preparing certain regulatory reporting forms. It's a project management approach that draws from our broadly global and diverse regulatory reporting experience and subject matter expertise.

## Here's what's included.

A data collection system built to aggregate and normalize your data, reduce data redundancy, and grow along with your reporting requirements, with:

- › Timely and effective preparation of the forms, supporting work papers and reconciliations, and final filing in the formats required by the various regulatory agencies and recordkeeping protocols
- › Expert project management and oversight of each production schedule with our centralized regulatory team coordinating various data sources and feeds so you can focus on reviewing instead of cobbling together data from multiple sources and preparing the forms
- › Flexible approach for presenting data on the forms, based on your specific methodologies
- › Robust review process covering validation of data points, files and comparative analysis
- › Focused regulatory team with extensive industry experience and a formalized set of best practices for each reporting form

# Regulatory Reporting Services overview

## Reports

- › Form PF
- › Form CPO-PQR
- › AIFMD Annex IV
- › RIC Reporting (N-PORT, N-CEN)
- › ADV, PRIIPs, Large Shareholder Reports, TIC, OPERA and more

## Project management

- › Establish key deliverables and timelines
- › Establish and maintain project plan
- › Coordinate the operational units between administrator and the fund
- › Provide subject matter expertise based on industry best practices and feedback from regulatory agencies

## Implementation

- › Analyze each fund's reporting classification, deadlines and requirements, as applicable
- › Assess operational and system platform requirements
- › Complete implementation activities that support the established services
- › Coordinate fund on-boarding with internal administrator teams

## Processing

- › Aggregate and consolidate data from administrator source systems
- › Provide data storage in administrator data warehouse

## Pre-filing and filing

- › Provide the reports in the regulatory or industry-prescribed format as required
- › Submit completed reports to regulatory agencies or fund as applicable
- › Monitor status of report filings with the relevant regulatory agencies
- › Archive and retain reports, filings and supporting data, as applicable

# Regulatory Reporting Services—a crucial component of the SEI Enterprise Regulatory-Compliance Platform

Regulatory Reporting Services is part of an entire suite of services that enables your firm to leverage automated processes, best-in-class technology and a robust regulatory data management service to ease your compliance burden.

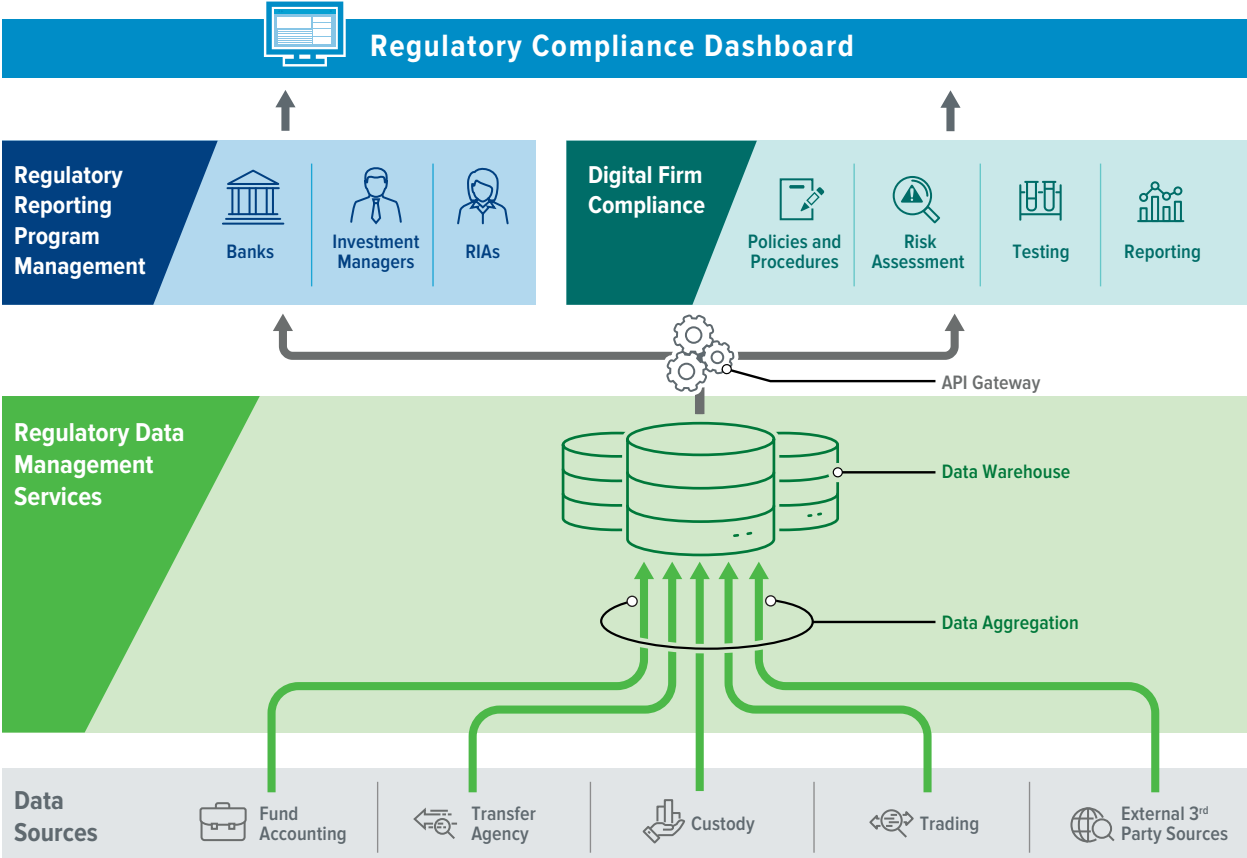
### Other services include:

- › Regulatory data management
- › Firm compliance management
- › Investor compliance

You can tailor our enterprise regulatory-compliance platform to your firm’s needs and scale appropriately as your business requirements change.

## SEI Enterprise Regulatory-Compliance Platform

Outsourced business services and integrated technology



It starts at the bottom layer where we integrate any disparate data-sets required for your compliance and regulatory reporting needs, including fund accounting, trading data and any other third-party sources.

From there, the data is stored in our data warehouse where it is easily accessible for high-level digital firm compliance and regulatory reporting program management. Our robust solution alleviates the need to build, support and maintain separate data silos for each data source. The platform’s comprehensive dashboard is a one-stop shop for your firm’s compliance and regulatory reporting teams.

## About SEI's Investment Manager Services Division

SEI's Investment Manager Services supplies investment organizations of all types with advanced operating infrastructure they must have to evolve and compete in a landscape of escalating business challenges.

SEI's award-winning global operating platform provides investment managers and asset owners with customized and integrated capabilities across a wide range of investment vehicles, strategies and jurisdictions. Our services enable users to gain scale and efficiency, keep pace with marketplace demands, and run their businesses more strategically. SEI partners with more than 550 traditional and alternative asset managers, as well as sovereign wealth funds and family offices, representing nearly \$30 trillion in assets, including 49 of the top 100 asset managers worldwide\*. For more information, visit [seic.com/ims](https://seic.com/ims).

\*Based on *Pensions & Investments*' "Largest Money Managers" 2019 ranking.

## About SEI

After 50 years in business, SEI (NASDAQ:SEIC) remains a leading global provider of investment processing, investment management, and investment operations solutions designed to help corporations, financial institutions, financial advisors, and ultra-high-net-worth families create and manage wealth. As of December 31, 2020, through its subsidiaries and partnerships in which the company has a significant interest, SEI manages, advises or administers approximately \$1 trillion in hedge, private equity, mutual fund and pooled or separately managed assets, including approximately \$369 billion in assets under management and \$787 billion in client assets under administration. For more information, visit [seic.com](https://seic.com).

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