



SEC Modernization Solutions

Powered by Eagle and Donnelley Financial Solutions

Answer a critical, immediate challenge with our combined expertise

- Eagle Investment Systems' data management platform feeds multi-source governed data to Donnelley Financial Solutions' *FundSuiteArc* reporting system.
- Clients of Eagle and Donnelley Financial Solutions can subscribe to the combined solution.
- Scalable, repeatable, more efficient data transfer assures accuracy and on-time filing, while helping to reduce risk.
- An end-to-end, web-based solution allows filers to collect, create, review and file N-PORT and N-CEN forms using Eagle and Donnelley Financial validation workflow and data monitoring tools.
- Solutions can be implemented in advance of rules effective date, allowing UAT and SEC test filing.

The new SEC Modernization Rules present investment firms with challenging data management and SEC filing requirements

June 1, 2018 begins the first filing cycle for the new Forms N-PORT and N-CEN. To meet filing requirements every month, investment firms will need to manage more data, more frequently. To meet the new regulatory responsibilities, many may need to add capability, expertise, and potentially headcount.

Banding together to meet all the new filing needs

Eagle Investment Systems and Donnelley Financial Solutions have assessed the demands of the new rules and combined their expertise to create a solution to meet the monthly regulatory filing need.

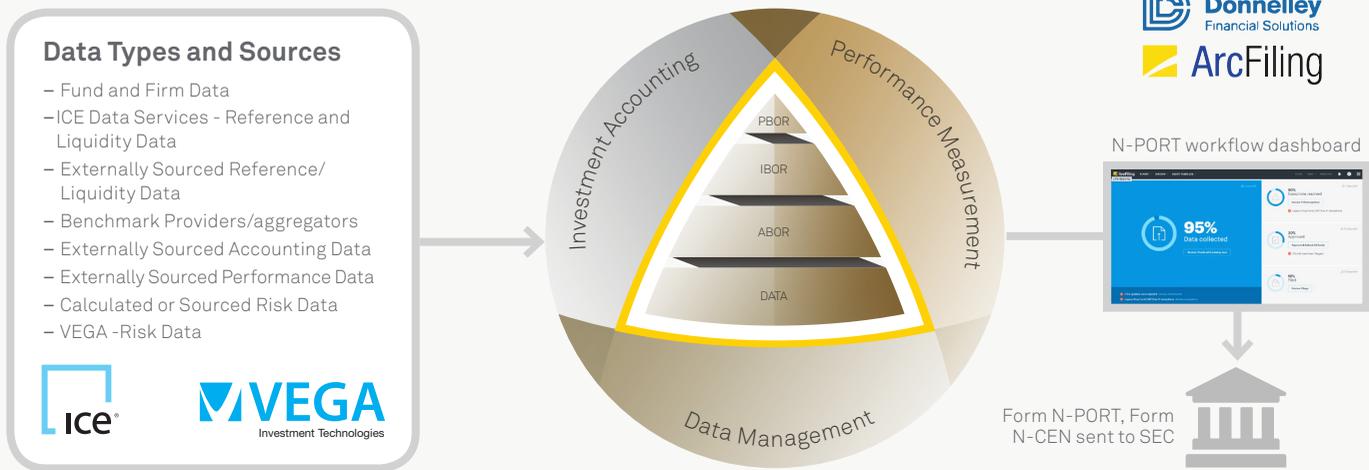
By leveraging the unique capabilities of the industry's foremost leaders and experts, your firm can source, validate, organize, and deliver all SEC required data—accurately and on time.

Data management is the difference-maker for the long term

Others will offer narrowly focused modernization compliance solutions; however, Eagle's globally proven, exception-based data management capabilities provide valuable workflow and data scrubbing functionality to support multiple fit-for-purpose data needs including modernization. And Eagle's efficient solution with Donnelley Financial's industry-leading *FundSuiteArc* platform simplifies the process.

Together, Eagle and Donnelley Financial position your firm to respond nimbly to future regulatory demands.

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Overcome the obstacles to compliance

The graphic above illustrates how the Eagle and Donnelley Financial solution eases the management of N-PORT's specific needs and helps to empower your firm to operate more efficiently:

- Easily interface multiple trusted data sources from Eagle
- Rely on Eagle and Donnelley Financial to meet the modernization requirements of new taxonomy and consolidation of data from data providers
- Reuse the information for other regulatory or reporting needs
- Validation and approval workflow specific to the data needs

The combined solution helps to overcome barriers through:

- A holistic approach that leverages alliances to meet data needs
- A data platform that seamlessly aggregates multiple data sources
- Reliance on deep expertise in versioning and validation of critical data
- Scalability and adaptability, to keep pace with inevitable regulatory changes

SEC Modernization: The first phase of the Eagle Regulatory Hub

Eagle is enhancing its platform to increase its regulatory support capabilities beyond SEC Modernization. Our initial enhancements include:

- Core Eagle data model extensions
- Meta data definitions
- Data integration to support regulatory changes
- Best practice workflow/data integration

WE ARE EAGLE INVESTMENT SYSTEMS

Eagle Investment Systems LLC enables financial institutions to grow their assets by creating operational efficiencies and delivering award-winning solutions for data management, investment accounting, and performance measurement and attribution, supported by an unparalleled level of service. Eagle deploys its solutions via a secure private cloud, Eagle ACCESSSM, which hosts and provides on-going support of the applications and systems infrastructure, reducing complexity and risk. Eagle Investment Systems LLC is a subsidiary of BNY Mellon.

Combine data and processing from trusted solutions

ICE and Vega are just two of the trusted solutions that can be combined with the Eagle/Donnelley Financial solution. Contact your Eagle representative to review your data sourcing needs and options.

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