

# unity next® REGULATORY REPORTING

**FOR SEC MODERNIZATION  
INCLUDING FORM N-PART, FORM N-CEN & REGULATION S-X**

Confluence estimates that our solutions will reduce both the time spent preparing for and the on-going resources expended on Form N-PART and Form N-CEN by up to 80 percent. As well, Confluence solutions will reduce risk by making it feasible to complete the Form N-PART filing in 30 days, providing a controlled system to facilitate collaboration, review, standardization, and providing an audit trail for external regulatory examinations and inquiries.

## ▶ FEATURES & BENEFITS



### FORM FILINGS

Filing solutions for Form N-PART and Form N-CEN through the Unity NXT® Regulatory Reporting platform



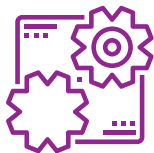
### REGULATION S-X CHANGES

Unity Financial Reporting® support for the Regulation S-X changes



### DATA SHARING

Sophisticated data sharing between Unity® Financial Reporting and Unity NXT® Regulatory Reporting



### REGULATORY REMEDIATION

Regulatory remediation to determine data sources and on-going data collection procedures



### FORM PREP & SERVICES

Ongoing form preparation and filing services to ease the new resource burden



### ONE END-TO-END SYSTEM

A full end-to-end solution under a single offering via partnerships with market data providers and risk management specialists

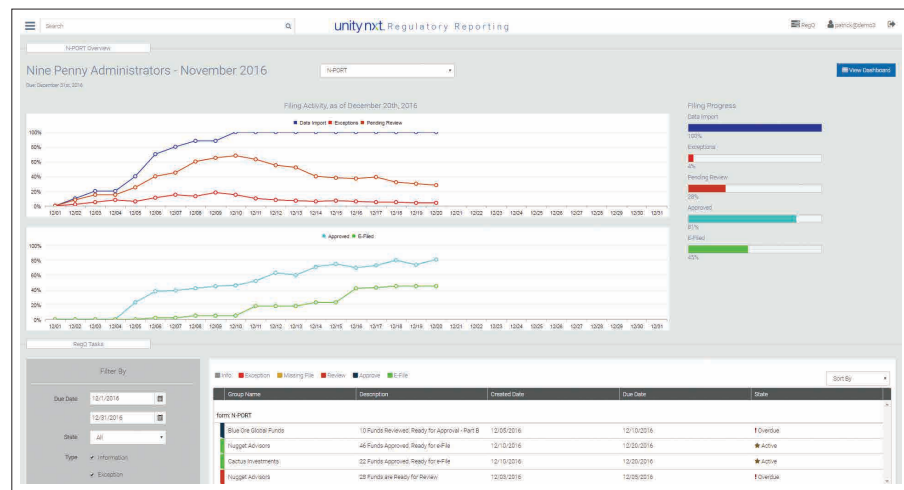
unity next®

## Form N-PORT Solution Features and Benefits

With a condensed 30-day filing window and many additional data sources required, Form N-PORT is a complex and onerous regulatory reporting obligation. Confluence's Unity NXT® Regulatory Reporting solution for Form N-PORT automates the filing process and eases the data management challenges through Synapse™ providing data integration, aggregation and re-use.

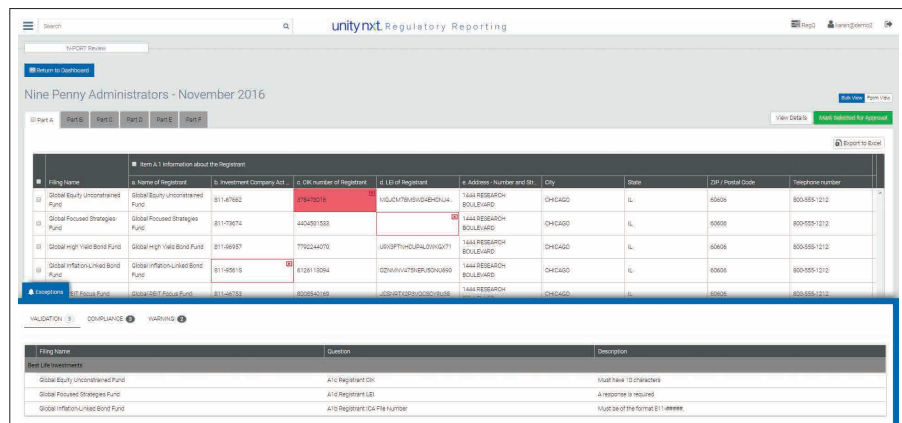
### FILING CYCLE OVERVIEW

- At-a-glance metrics and time charts of filing progress provide executive-level oversight to prompt actions
- Role-based entitlement and user-specific task list guides users through tasks according to client process
- System-generated tasks and alerts based on filing status changes, milestones, and user entitlements provide a single place for accessing assigned work items



### BULK REVIEW AND APPROVALS

- Ability to review, approve or reject content in multiple filings at once reduces time to review and approve filings and supports large number of filings to be completed in condensed 30-day window
- Ability to assign access to forms, filings and funds, and to specify role-based functions like view, edit, review, approve/reject and e-File ensures that users have specific privileges to see and do what they're allowed
- Automated exception-based workflow provides standard and configurable data quality consistency and checks



Filing Name	Name of Registrant	Investment Company Act	C-SEC Number of Registrant	d-SEC of Registrant	Address, Number and City	State	ZIP/Postal Code	Telephone Number
Global Equity Unconstrained Fund	Global Equity Unconstrained Fund	81147662	17847214	1444 RESEARCH BOULEVARD	CHICAGO, IL	60606	800-355-1212	
Global Focused Strategies Fund	Global Focused Strategies Fund	81173874	440591583	1444 RESEARCH BOULEVARD	CHICAGO, IL	60606	800-355-1212	
Global High Yield Bond Fund	Global High Yield Bond Fund	81146897	795244070	1444 RESEARCH BOULEVARD	CHICAGO, IL	60606	800-355-1212	
Global International Bond Fund	Global International Bond Fund	81145816	6128110064	1444 RESEARCH BOULEVARD	CHICAGO, IL	60606	800-355-1212	
Global Infrastructure Bond Fund	Global Infrastructure Bond Fund	81146713	80324143	1444 RESEARCH BOULEVARD	CHICAGO, IL	60606	800-355-1212	

Filing Name	Question	Description
Global Equity Unconstrained Fund	A1c Registrant CFI	Must have 10 characters
Global Focused Strategies Fund	A1c Registrant LEI	A response is required
Global International Bond Fund	A1c Registrant ICA File Number	Must be of the format 811#####



## Regulatory Reporting Powered by Synapse® for Data Integration, Aggregation and Reuse

**Unity NXT® Regulatory Reporting powered by Synapse® enables clients to solve their post-trade regulatory filing needs through one platform, giving asset managers and asset servicers the answer to constant regulatory change. With a collaborative environment to minimize review challenges and drive efficiency, clients can reduce the cost of existing reporting obligations and nearly eliminate the challenges and complexity of solving new reporting requirements.**

## FEATURES & BENEFITS



### SYNAPSE

Leverage the flexible and powerful data model to allow for data aggregation and reuse across forms and easily accommodate data changes to regulatory requirements.



### ONE SYSTEM

Increase efficiency and scalability through one system for all post-trade regulatory filings and reduce time to implement, learn and maintain the system.



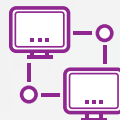
### FORM BUILDER

Reduce time and effort to support new or updated regulatory forms with configurable content and form-specific calculations to enable rapid creation and edits.



### TRACEABILITY

Decrease time to problem resolution with transparency into entire aggregation and calculation lifecycle for each data point included in a filing.



### AUTOMATED NOTIFICATIONS

Ensure accurate regulatory filing process with validations, compliance rules and warnings that both simplify and allow customization to support individual needs.



### INTUITIVE INTERFACE

Simplify users' experience with workflow, data audit trails, smart layouts that show only relevant form content and other smart features such as AutoSave.



### SAAS SCALABILITY

Support rapid response to regulatory additions and changes and ensure client data is protected with enterprise-grade application and system security.



### COLLABORATION

Enhance user and administration accessibility with a centralized filings dashboard, role-based privileges and maker/checker workflow to create team synergies.



## ABOUT CONFLUENCE

As a global leader in data-driven solutions for efficiency and control, **Confluence** solves tough data management and automation challenges for the asset management industry, including performance reporting, regulatory reporting, investor communications and fund expense management.

**Confluence** solutions enable asset managers and third-party administrators to consolidate and leverage data across business operations which results in lower costs, reduced risk, decreased reporting turnaround times and the scalability to automate more processes without additional resources.

The platform features solutions to support a wide array of fund types — including mutual funds, ETFs, alternative investments, institutional portfolios and UCITS funds.

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