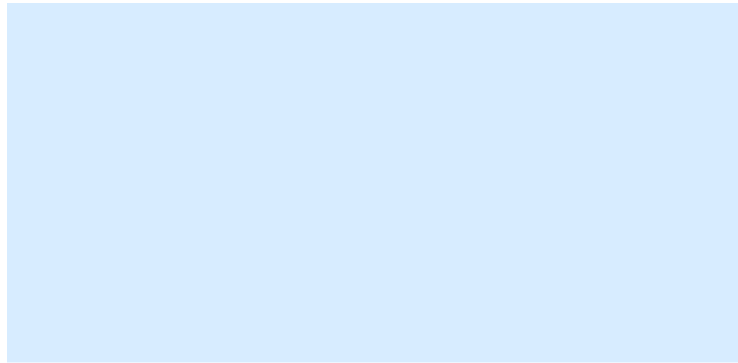
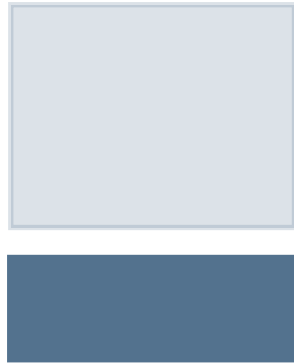


Deep Dive
Index
Management

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Recap



Audits are likely going to increase



Industry leading data provider has shared insights on best practice data declaration approach



License number declarations are less of an issue than they used to be



Deep-dive on application data



Deep-dive on index data



Index Management



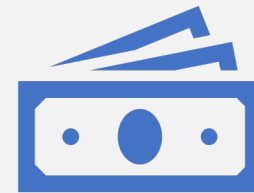
Compliance & Risk Reduction

Project Recap

Why



**EFFICIENT USE OF MARKET
INFORMATION**

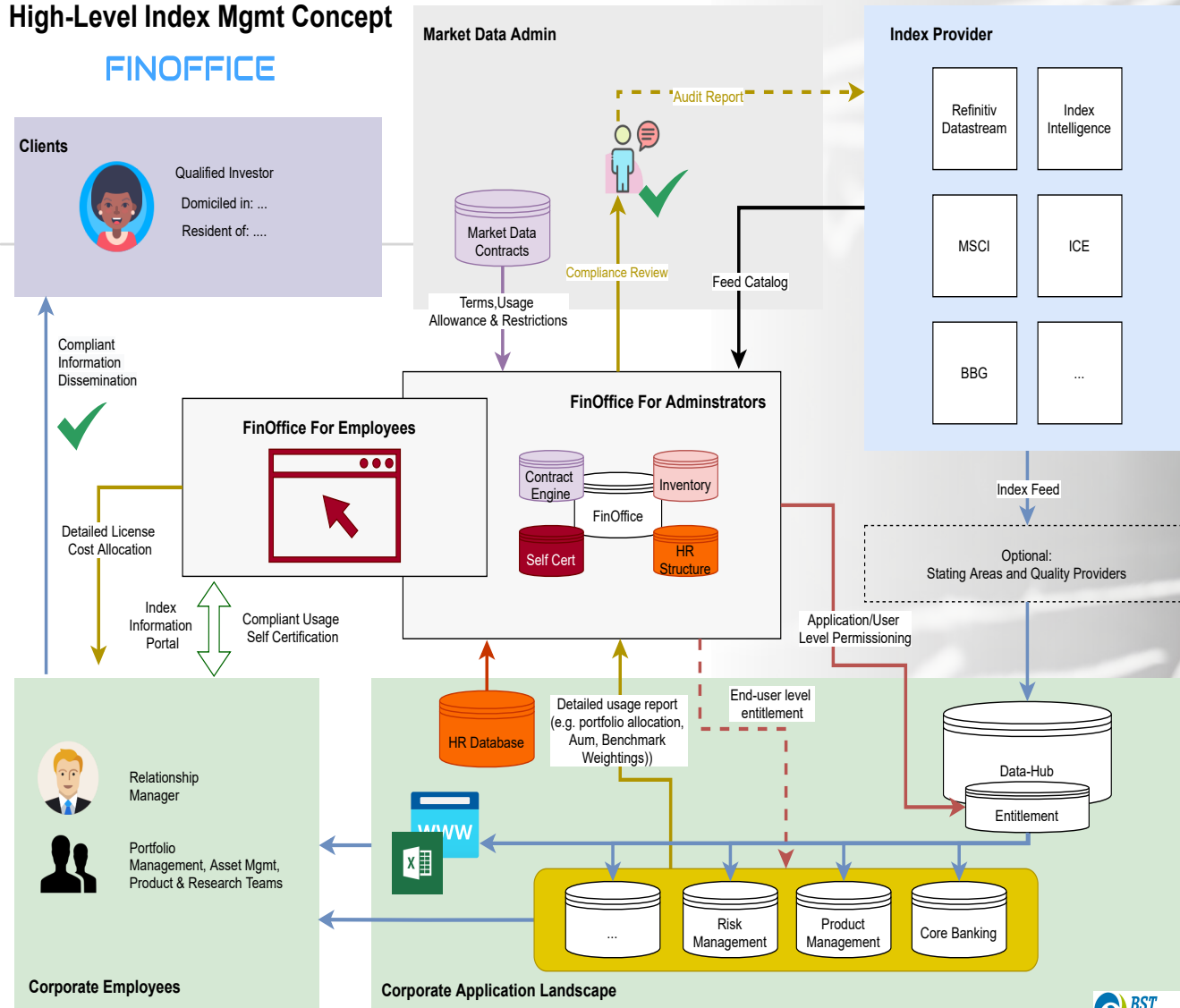


**AVOID CONTRACTUAL BREACHES
LEADING TO FINANCIAL PENALTIES**

Blueprint

High-Level Index Mgmt Concept

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$y = g(x)$
Secant Lines
 $f'(x) = \lim_{h \rightarrow 0} \frac{f(x+h) - f(x)}{h}$
 $f(x) = \lim_{h \rightarrow 0} \frac{(x+h)^2 - x^2}{h}$
 $= \lim_{h \rightarrow 0} \frac{x^2 + 2xh + h^2 - x^2}{h}$
 $= \lim_{h \rightarrow 0} \frac{2xh + h^2}{h}$
 $= \lim_{h \rightarrow 0} h(2x + h)$

Approach

01

Know what's available

02

Know what's subscribed

03

Know what's allowed

04

Verify

05

Find discrepancies

06

Fix where necessary

07

Repeat

Know what's available

- Tasks
- Requests
- Assets
- Catalog
- Consumers
- Contracts
- Documents
- Indices
- Interfaces
- Invoices
- Reports
- Budget Browser
- Budget Manager
- Cost Browser

Hide F

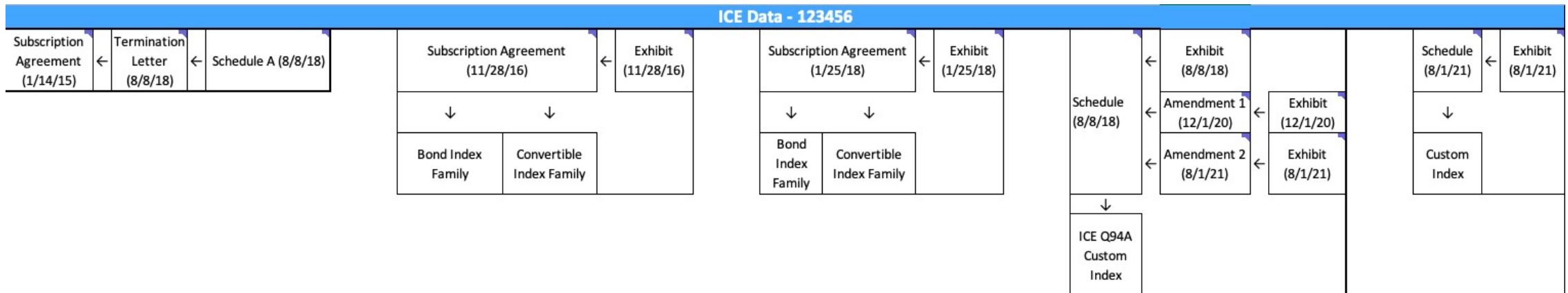
Billing

Indices
Contracts
Details
Activity Log

| Name | Identifier | Currency | Calculation | Billing Vendor | Provider |
|--|------------------------|----------|-----------------|----------------|------------|
| ▼ EURO STOXX Climate Transition Benchmark | ⋮ EURO STOXX Clima... | | | STOXX | |
| ESTX CTB EUR (Gross Return) | .SXXGTCTB | EUR | realtime 15 sec | | Reuters SA |
| ESTX CTB EUR (Gross Return) | | EUR | realtime 15 sec | | Bloomberg |
| ESTX CTB EUR (Net Return) | .SXXTCTB | EUR | realtime 15 sec | | Reuters SA |
| ESTX CTB EUR (Net Return) | SXXTCTB INDEX | EUR | realtime 15 sec | | Bloomberg |
| ESTX CTB EUR (Price) | .SXXECTB | EUR | realtime 15 sec | | Reuters SA |
| ESTX CTB EUR (Price) | SXXECTB INDEX | EUR | realtime 15 sec | | Bloomberg |
| ESTX CTB USD (Gross Return) | | USD | dayend | | Bloomberg |
| ESTX CTB USD (Gross Return) | .SXXGUCTB | USD | dayend | | Reuters SA |
| ESTX CTB USD (Net Return) | .SXXUCTB | USD | dayend | | Reuters SA |
| ESTX CTB USD (Net Return) | | USD | dayend | | Bloomberg |
| ESTX CTB USD (Price) | .SXXKCTB | USD | realtime 15 sec | | Reuters SA |
| ESTX CTB USD (Price) | | USD | realtime 15 sec | | Bloomberg |
| > EURO STOXX Total Market Climate Transition Benchmark | ⋮ EURO STOXX Total ... | | | STOXX | |
| > STOXX Europe 600 Climate Transition Benchmark | ⋮ STOXX Europe 600 ... | | | STOXX | |
| > STOXX Global 1800 Climate Transition Benchmark | ⋮ STOXX Global 1800... | | | STOXX | |
| > STOXX USA 500 Climate Transition Benchmark | ⋮ STOXX USA 500 Cli... | | | STOXX | |
| > STOXX USA 900 Climate Transition Benchmark | ⋮ STOXX USA 900 Cli... | | | STOXX | |

Know what's subscribed

Consumption transparency



Know what's allowed

In-Depth Contractual Obligation & Rights Awareness

Derivation Rights & Restrictions

- Client may not use the Products in any manner not expressly permitted by the Agreement. AD rights not specifically granted in the Agreement are expressly reserved by _____. Without limiting the generality of this Section 2.2, Client shall not:
 - _____ a publish, transfer, display or grant direct or indirect access to any Product or Derived Materials to any third party who is not a User or to any person outside the Location(s);
 - _____ b copy (except and only to the extent that Client is legally permitted by applicable law, as determined by Client's counsel, and providing Licensee notifies _____ in writing in advance), store, archive (except and only to the extent Client is required to archive for regulatory purposes, as determined by Licensee's counsel), or create a database of the Products or any part thereof.
 - _____ c. modify, improve, manipulate, translate, reverse-engineer, decompile or disassemble any Product or any part thereof;
 - _____ d use the Products or _____ or a Vendor's name in connection with a prospectus or the creation, issuance, offer, or promotion of a financial instrument or security,
 - _____ e use any Data, other than Flat-File Data, in a configuration or with software not specified in the applicable Order Form or use any Data, including Flat-File Data, with any third party software;
 - _____ f use any Product for the benefit of a third party other than with respect to third parties whose assets are managed by Client (or a potential customer whose assets the Client is seeking to manage) or who have brokerage or trading accounts with Client,
 - _____ g use, evaluate, or view any Product for the purpose of designing, modifying, or otherwise creating any software program, or any portion thereof, which performs functions similar to, or that compete with, the functions performed by any Product(s),
 - _____ h distribute, display, transmit, or make available to a third party any security identifiers (including but not limited to CUSIPs, ISINs or RICs) or _____ identifiers delivered with the Data, without first obtaining written consent directly from the owner of such identifiers;
 - _____ i use any Product in a manner that would substitute for the addition of a User or a license or purchase of any portion of a Product (for example, use any Data to create a separate or substitute database); or
 - _____ j cause, permit, or authorize others to do any of the above

Welcome John Steinbeck Thank you for participating in the usage review: "Survey Name"

Register additional services

| | | | |
|--|---------------|-------------------|-----------------|
| NAME* | SERVICE TYPE | CONTRACTING PARTY | OWNER / CONTACT |
| MSCI Daily TR Emerging Markets Growth Gross South Africa Local | Index Variant | MSCI | Joe Rogan |
| TICKER SYMBOL | TICKER ISSUER | ACTIVE USERS | DATA SOURCE |
| DLGESA | Bloomberg | 15 | Market Data Hub |

| Use Cases | Contractual Term Clause | Used | Not used | Unsure | COMMENTS (REQUIRED IF SERVICES ARE CHECKED "UNSURE") |
|--------------|--|--------------------------|--------------------------|--------------------------|--|
| Derivation | 2.2 Restrictions on Use. Client may not use the Products in any manner not expressly permitted by the Agreement. AD rights not specifically granted in the Agreement are expressly reserved by Barra. Without limiting the generality of this Section 2.2, Client shall not: a. publish, transfer, display or grant direct or indirect access to any Product or Derived Materials to any third party who is not a User or to any person outside the Location(s); b. copy (except and only to the extent that Client is legally permitted by applicable law, as determined by Client's counsel, and providing Licensee notifies Barra in writing in advance), store, archive (except and only to the extent Client is required to archive for regulatory purposes, as determined by Licensee's counsel), or create a database of the Products or any part thereof. c. modify, improve, manipulate, translate, reverse-engineer, decompile or disassemble any Product or any part thereof; d. use the Products or Barra's or a Vendor's name in connection with a prospectus or the creation, issuance, offer, or promotion of a financial instrument or .. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| Distribution | 10.4 For the purposes of this Order Form, "Derived Materials" mean any research, reports, computational results, information or material obtained or derived by Client in whatever form from the use of the Products. Notwithstanding anything to the contrary in the License Agreement, Client may share Derived Materials based upon Client's managed holdings, benchmarks, and internal models at the position level, (e.g., by sector) (other than raw Data provided by third party Vendors) on an ad hoc, non-systematic basis in non-manipulable format only (e.g., PDF) with investors and customers, potential investors and customers. In addition, Client may share such Derived Materials at the portfolio level (Tracking Error, Total Risk, Value at Risk, Betas) or at the asset class breakdown level either on an ad hoc, non-systematic basis or, in order to comply with Client's compliance or fiduciary duties, on a systematic basis (e.g. monthly) in non-manipulable format only (e.g., PDF), with investors and customers, potential | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |

ATTACHMENTS

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Verify
Active End-User Involvement

Key Observations



How can we work with data vendors to provide more structured and standardized product catalogs?



How can vendors better understand bank's use cases and customer journeys?



How can automate the monitoring of changes (as part of audit preparation)?

Contact us
+41 55 225 10 30
www.finoffice.com

Thank you