



GENERAL OVERVIEW

SLIB offers Custodians a wide range of regulatory reports with its SLIB Legal Reporting solution. These reports are intended for affiliation, trusteeship or control organisations, like the Banque de France, the national tax office or the banking commission. SLIB Legal Reporting is part of our overall offer guaranteeing the conformity of all your declaration reports.

KEY BENEFITS

- Can be used with any other SLIB module
- Management of multiple media, multiple periodicity
- Monitoring of changes concerning reporting methods (e.g. DTOM, PROTIDE projects)
- Regulatory watch, distribution of information to clients and management of related releases

FUNCTIONS

General process providing declaration reports

- Instrument identifier
- General characteristics
- Quotation characteristics
- Eligibility characteristics for PEA, QI securities
- Settlement characteristics
- Warrant issue and execution characteristics

EXISTING REPORTING

Banque de France reporting

- **Reports PR01, PR02 and PR03:**

Following implementation of the PROTIDE project, these reports replace BDF 26 and ETN. Report PR01 states the portfolio liabilities at the end of the quarter in a pleasant form, evaluated at the latest stock exchange price on the last day of the quarter. Report PR02 gives the gross flows at the end of the quarter (buy, sell, subscription, reimbursement, cashed income) evaluated at the operation execution price and new transactions with no monetary counterparty, evaluated at the closing price, on the date of the operation. Report PR03 states security liabilities at the latest stock exchange rate on the last day of the quarter.

These reports are broken down according to the type of portfolio (own account, client account, etc.) and type of holding (PEA, borrowed securities, etc.).

- **DTOM:**

This report is mainly aimed at measuring the ownership of monetary UCTIS securities by economic agents in establishments with resident accounts. It concerns both French and foreign economic agents and securities issued by monetary UCTISs from throughout Europe.

- **R30 / Payment report:**

Report for non-resident clients. This monthly report details the balances and transactions of non resident accounts as well as producing a data sheet for each client.

- **TRACFIN - Processing information and action against illicit financial circuits:**

This administrative department reports to the French ministry of economics, finance and industry. Its purpose is to prevent money laundering. Its investigations are originally based on suspicions declared by financial

organisations. As such, investment companies are committed to implement a systematic detection process for dubious operations by identifying all cash transactions above a certain limit. The client is then responsible for investigating whether or not the transaction justifies reporting the suspicion to TRACFIN. To ensure efficient detection, transactions can be identified according to different criteria.

National tax office reporting

- **FICOBA : Bank account files**

File edited on a monthly basis concerning the declaration of creations, closures and modifications made on security and cash accounts.

- **UFS (Unique Fiscal Statement) - Single tax form**

Forms 2561 and 2561bis are required by the French national tax office. SLIB proposes a 2561ter form by default but also enables personalisation of your clients' UFSes to conform to your own model.

The module enables production of one UFS for each fiscal third party, thereby permitting account grouping. UFSes consolidate the products managed in SLIB: profits, PEA, income tax (coupons), fees for safe custody. The module also enables integration of external counters received from other information systems.

Further services:

Traitement d'édition des IFU de masse et mise sous pli par imprimeur

Génération des bandes TD-RCM (clientèle et nominatif pur) envoyée à la DGI

Génération de CD-ROM d'archivage

Possibilité d'éditer un IFU à la demande sur année complète ou rétroactif en précisant une date d'arrêt

Mise à disposition des éléments de calculs (liste des comptes regroupés sur l'IFU et détails des montants) sous forme traditionnelle ou par décentralisation de fichier

Banking Commission reporting

- **Prudent person portfolio approach rules and asset limitation for securities**

These are prudent management daily ratio calculations to determine coverage of risks related to the intervention of a main establishment or to the intermediation activity. Calculations are made as part of the auxiliary accounting kept by SLIB to supply external general accounting systems.

- **BAFI - Financial agents database**

This module provides the data from SLIB's auxiliary accounting to create BAFI files in order to supply an external BAFI tool.