

## OUR PROFILE

SGGG Fund Services Inc. is a financial services provider that has delivered third-party administration services, solutions and expertise to asset managers since **1997**. Our comprehensive services are seamless and integrated with our clients' operations, and our commitment to helping partners reach their goals has gained us the position as Canada's largest administrator of alternative investment products.

Through our Toronto head office, our offshore affiliate offices in **Cayman** and **Malta**, and our proprietary affiliate portfolio management systems technology named **AlphaDesk**, we can provide immediate and total administrative solutions for any type and size of asset manager, at any phase of development.

Drawing upon the depth of talent and breadth of experience of our **125** employees, we have developed a sophisticated understanding of our clients' needs. SGGG Fund Services Inc. is a true administrative partner that allows its clients to *focus on managing their portfolios*.

***'Our mission is to provide unparalleled service and support by investing in the continuous development of our people, technology and partnerships.'***

## QUICK FACTS

- **\$26.6 Billion** Assets Under Administration
- **241** Fund Manager Clients
- **615** Funds Administered
- **86** Managers on the Fundserv Network
- **2,372** Funds for Recordkeeping
- **343,457** Unitholder Accounts

## OUR KEY QUALITIES

SGGG Fund Services Inc.'s business model and organizational structure is unique within the industry. Because we understand that no two clients are the same, we deliver tailored and dynamic solutions at exceptional value. Put simply, we succeed only when our clients do, and we pride ourselves on being:

***Independent.*** We are privately owned, independent and free from conflicts of interest in the services that we provide. Fund administration is our sole focus, meaning that we can fully devote our resources and expertise to clients and cannot be steered off course.

***Industry Leaders.*** Our executive team has a combined 150 years of industry experience in senior leadership positions across the Canadian financial services industry. We anticipate our clients' needs proactively, adapt to changes in the market and regulatory environments and, through our participation in AIMA Canada, PMAC, PCMA, the Fundserv Standards Steering Committee and other industry events, influence and drive development in financial services. With SGGG Fund Services Inc. as your administrator, you have a partner at the forefront of the industry.

***Technology Driven.*** We recognize that adaptive technological solutions are needed to maintain our competitive edge. DIAMOND, our industry-leading unitholder recordkeeping and fund valuation system is robust, flexible, scalable, Fundserv integrated and can handle any volume of activity. Our development team can provide custom solutions for any reporting or product structuring needs, and is committed to the ongoing enhancement of the platform. We place the utmost importance on protecting client data, and our servers, technology and information are safe and secure with multiple redundancies.

***Client Focused.*** We believe that fostering long-term, close relationships with clients lead to success all around. Our clients have direct access to both our executive and to the team responsible for the day-to-day operation of the fund, meaning they get the answers they need, when they need them. Our ability to sustain low employee turnover has created stable, consistent relationships across our service teams. Through effective communication, we actively engage our clients to provide feedback and guidance so that we're focused on their true needs.

***Transparent.*** Our reputation for integrity is built upon a commitment to exceed expectations of accountability within the industry, and we have gained the trust of clients and investors. Each year we voluntarily engage PwC to perform an ISAE 3402 audit of our controls and have never been noted for exception. Producing this report can reduce the time needed on fund audits, which translates into cost savings and efficiencies for our clients. We are also committed to the ongoing training, development and review of our staff to ensure that procedures are not only followed, but understood.

***'Our vision is to be the first choice for fund administration in Canada.'***

## OUR SERVICES

Our services fall under two core offerings: Fund Valuation and Unitholder Recordkeeping. We can offer comprehensive third-party administration or an *à la carte* selection of services based upon your needs. Our committed and knowledgeable professionals have the know-how, resources and experience to deliver exceptional results that are seamlessly integrated with your operations.

### Fund Valuations

The services offered by our Fund Valuation department include:

- Fund accounting and calculation of net asset value.
- Calculation of management and performance fees.
- Reconciliation of prime broker and custodian accounts.
- Preparation of annual and semi-annual financial statements.
- Fund tax returns and CRA filings.
- Coordination and assistance with fund audits.
- Calculation of distribution factors.
- Price reporting to vendors and third parties.
- Fund re-structures including mergers, stock splits and terminations.
- Assistance with product structuring.
- PFIC Reporting data for US based fund Tax Books.

### Unitholder Recordkeeping

The services offered by our Unitholder Recordkeeping department include:

- Creation and maintenance of investor accounts and share registry.
- Processing of subscriptions, redemptions, transfers, switches and distributions.
- Administration of all fees and commissions (front-end, DSC, LSC, trailers, etc.).
- Online view access to DIAMOND platform for fund managers.
- Multi-channel distribution offerings (MFDA, IIROC, direct, offshore).
- FundSERV network connection for transaction and settlement processing.
- Trust banking services.
- Call centre and dealer services.
- Product distribution and sales reporting.
- Investor communications including account statements and trade confirmations.
- Preparation and delivery of tax slips.
- Regulatory reporting requirements including 45-106F1 and AML compliance.
- Regulatory and ad-hoc mailings or mass communication.
- Data API for export to Fund Manager Databases or CRM systems.
- Private Equity fund administration and Capital Call processing.
- DTCC data connection for U.S. based investors.

## CONTACT US

To learn more about SGGG Fund Services Inc., please get in touch:

### OUR EXECUTIVE TEAM

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### VISIT US ON THE WEB

[www.sgggfsi.com](http://www.sgggfsi.com)

### OUR AFFILIATE COMPANIES

SGGG Fund Services (Cayman) Inc.

[www.sgggfsicayman.ky](http://www.sgggfsicayman.ky)



SGGG Fexserv Fund Services (Malta) Ltd.

[www.sgggfexserv.com](http://www.sgggfexserv.com)



SGGG Portfolio System Company Ltd.

[www.alphadesk.com](http://www.alphadesk.com)

