



PROVIDING FUND VALUATION &  
UNITHOLDER RECORDKEEPING TO  
INVESTMENT FUND MANAGERS SINCE 1997



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

Through our **Toronto** head office, and our offshore affiliate office in **Cayman** and registered office in the **United States**, 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 **175+ 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*.

We can offer comprehensive fund 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 consistently and effectively.

#### QUICK FACTS

- **\$68.4 Billion** Assets Under Administration
- **367** Portfolio Manager Clients
- **922** Funds Administered
- **120** Management Company Codes on the Fundserv Network
- **4,484** Funds/Classes for Investor Recordkeeping
- **585,118** Active Investor Fund Accounts

True Administrative Partners  
allow Fund Managers to focus on  
managing their portfolios...

# FSI provides two core services: Fund Valuation and Unitholder Recordkeeping.

## The services offered by our Fund Valuations department include:

- Fund accounting and calculation of net asset value (NAV).
- 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 income distributions and partnership allocations.
- Price reporting to vendors and third parties.
- Fund re-organizations such as mergers, unit splits, and rollovers.
- Assistance with product structuring.
- PFIC Reporting data for US based fund tax books.
- Dedicated team for Private Equity funds.
- 'Middle Office' Portfolio Reconciliation, Break Resolution and 'Shadow NAV' services.

## The services offered by our Unitholder Recordkeeping department include:

- Fundserv network connection for transaction and settlement processing.
- Pooled Fund administration for Portfolio Managers or Independent Financial Advisors.
- Administration and support for Exempt Market Issuers.
- 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.).
- Fund Manager web access to our DIAMOND platform for account inquiry, reports, etc.
- Investor web portal for account inquiry, downloading of account statements, tax slips, etc.
- Multi-channel distribution offerings (MFDA, IIROC, direct, offshore).
- 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 on-going AML monitoring.
- Regulatory and ad-hoc mailings or mass communication.
- Data API for export to Fund Manager Databases or CRM systems, including a 'Salesforce App'.
- DTCC data connection for U.S. based investors.

v2021-09

## **SGGG Fund Services Inc.**

**121 King Street West, Suite 300, Toronto, Ontario, M5H 3T9**

**[www.sgggFSI.com](http://www.sgggFSI.com)**

**[info@sgggfsi.com](mailto:info@sgggfsi.com)**

**+1-416-967-0038**