

Transforming the global funds industry





Calastone helps fund managers, distributors, platforms, custodians and fund administrators around the world realise the benefits of cost and risk reduction through interoperable automated processing.

Our purpose is to use smart technology solutions and industry collaboration to enable global distribution, reduce operational risk and enhance client profitability. Working with the industry, we help firms respond to regulatory changes, innovate to remain competitive and take advantage of the international investment opportunities through our growing network in key locations across the globe.



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Enabling global distribution



Helping the industry interoperate

Calastone launched its transaction network in 2008 providing order routing services for the fund management industry.

We now offer a range of products across the investment lifecycle designed to meet both short-term market needs and long-term transaction requirements.

Our solutions encompass Transaction Services, Data Services and Connectivity/Infrastructure Services.

With just one connection to our network firms can transact with any counterparty and in any message format. There is no need to upgrade existing infrastructure or incur any upfront costs. Operating an entirely open and interoperable network, we support and enable transactions in any and all electronic standards.

Some of the market continues to maintain a point-to-point approach to connectivity or automated one way fax delivery. Such





approaches are proven to be expensive, cumbersome and prevent firms from driving benefit through the investment chain. These highly manual processes are inefficient and expose firms to risk through duplication and inaccuracy.

Calastone provides a one-to-many alternative connectivity network that reduces cost, risk and improves transparency, irrespective of a firm's role, size or location.

Global Connections

The mutual funds market operates globally with funds managed in one domicile being distributed cross-border into multiple markets. Calastone's global network, connected across 34 countries and territories, provides distributors with more flexible and cost-effective ways of gaining access to cross-border funds.

Our extensive market coverage and deep understanding of cross-border distribution channels, which accounts for over 30% of our network, enables us to support our clients in establishing their funds in new markets.

Operational Excellence

Be secure in the knowledge that our operations team is on-hand, providing support across international markets and time zones.

Our team is committed to supporting all of our clients and ensuring smooth processing of messages across our global transaction network.

Our support services are unique in that we not only transmit the order, but also track and manage it throughout the lifecycle. This enables rapid break fix, and in many cases the avoidance of the incident entirely. Over 95% of enquiries raised are resolved at first point of contact.

"Via Calastone we will be able to increase the number of automated fund managers to 20 which will allow us to reach over 82% overall automation."

**Taipei Fubon Commercial Bank,
Trust Department**

Our solutions



Innovate

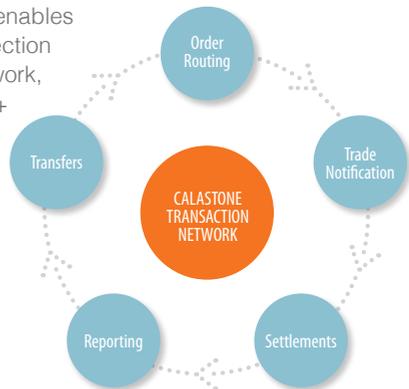
In response to industry and regulatory demand, we have introduced a range of services that fall into three main groups:

Transaction Services

Calastone Transaction Services enables global distribution through connection to the Calastone transaction network, providing access to over 13,000+ trading links worldwide.

As the domestic and cross border investment funds market continues to grow so too does the need for automation and operational efficiency.

With a single connection to Calastone, client organisations are able to seamlessly trade with any part of our global network. Transaction Services automates the flow of investment fund transactions, from order routing through to the reconciliation and settlement of the order. Our solutions also incorporate post trade services, including the automation of custodian trade notifications and stock transfers.



“Implementing Calastone technology provides straight-through processing capability and order certainty for platform providers as well as de-risking unit registry operations.”

Ausbil Investment Management Limited, Chief Operating Officer



Data Services

Calastone Data Services is the only whole of market solution that enables clients to understand their global distribution down to the end distributor level, addressing regulatory obligations and providing powerful distribution insights.

Upcoming regulatory changes, including MiFID II, make it critically important that fund managers fully understand their global distribution, with responsibility now firmly residing with the fund manager to understand distribution of product down to end distributor level.

Data Services aggregates distribution data globally giving clients insight into their own business along with a market view, providing clients with the intelligence to drive product, sales and marketing strategies as well as meet regulatory needs.

Connectivity and Infrastructure Services

Our connectivity service offers clients a range of options to process their messages in any standard, protocol or gateway via SWIFT, FIX, MQ, Web Services, SFTP, JMS, Connect Direct and HTTPS. It also supports standard message formats ISO 20022 or ISO 15022, the range of FIX protocols, and an extensive range of proprietary formats.

"I had a demonstration of the system via Webex and a week later I was sending my trades. I was delivered a complete pack on how to use the system and a formal testing pack, which I had to complete before I could request to go live. The system is very user friendly. I was fully supported by the Calastone operations team, who then made moving into production exceptionally easy. I felt comfortable at all times that there was minimum implementation risk due to the strict process and controls Calastone have in place and at every step they were there to guide me and ensure I was completely comfortable. I was able to pass this knowledge on very easily within my team."

AP Pension, Senior Portfolio Manager



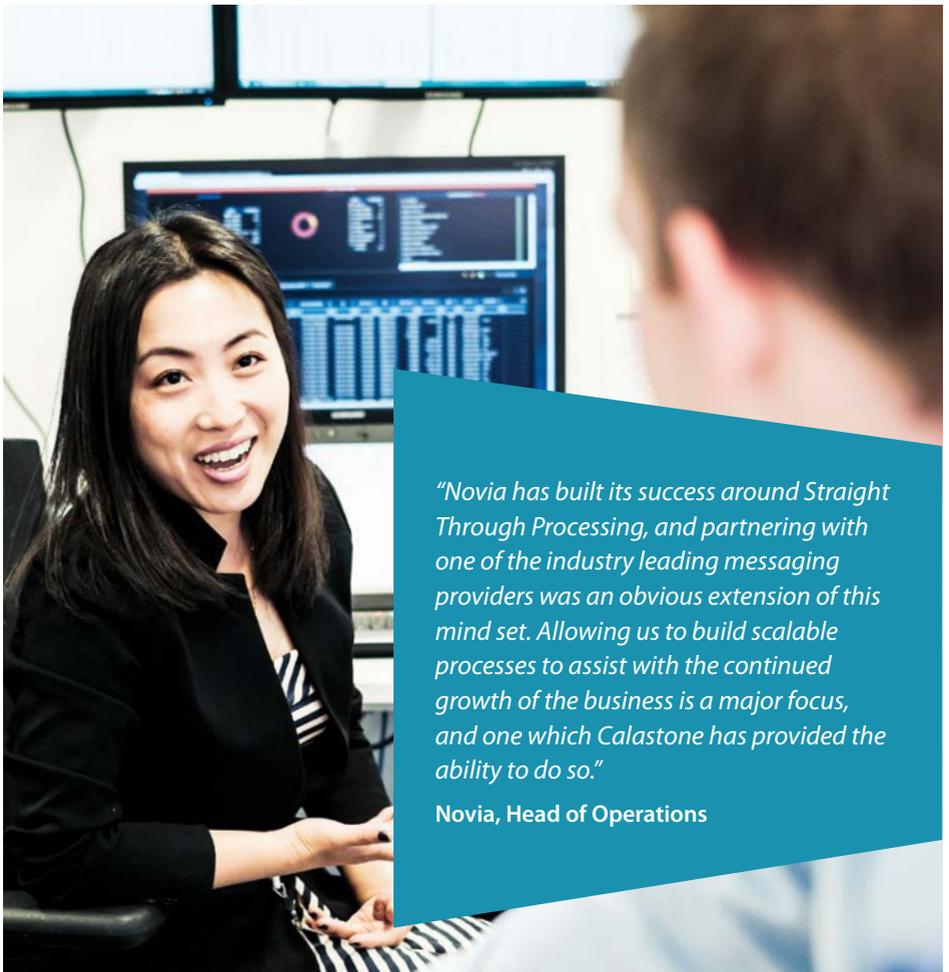
Making markets friction free

Our commitment

- To continue to collaborate, listen and innovate in response to industry demands. All our products and services are designed in response to customer and industry requirements, underpinned by our tireless efforts to provide exceptional operational and service support
- To continue to help our ever-expanding community of participants realise the benefits of risk and cost reduction through interoperable automated processing and take advantage of the domestic, regional and international investment opportunities on offer
- To offer knowledge, insights and innovation drawn from our experience and expertise
- To represent the best interests of our clients through active industry and regulatory engagement. We are devoted to continuing to engage, innovate and help participants address the increasing demand for greater transparency, efficiencies and investment performance

“For participating fund managers, transactions that were previously communicated to FundBPO by fax are now being processed via Calastone. This means the average time taken to confirm a fund transaction is reduced and quality of transaction services has improved.”

FundBPO, Chief Executive Officer



“Novia has built its success around Straight Through Processing, and partnering with one of the industry leading messaging providers was an obvious extension of this mind set. Allowing us to build scalable processes to assist with the continued growth of the business is a major focus, and one which Calastone has provided the ability to do so.”

Novia, Head of Operations



Transforming the global funds industry



Snapshot

1,200+

- With connectivity across 34 countries and territories, more than 1,200+ customers process domestic and cross-border transactions across our transaction network

- We have 99% coverage within the UK, and 60% coverage in both Luxembourg and Ireland

99%

13,000+

- We have offices in London, Luxembourg, Hong Kong and Sydney and maintain in excess of 13,000+ active trading connections

- We handle 190+ different types of messaging formats and standards, which are independent from the network, and carry more than 7 million fund messages globally over the network per month

190+ types



About Calastone

Calastone is a financial technology company. Our mission is to make markets friction-free by connecting trading partners through our global fund transaction network. With connectivity across 34 countries and territories, more than 1,200 customers are now processing domestic and cross border transactions via Calastone, benefitting from the cost and risk reduction opportunities transaction automation can offer.

Our purpose is to use smart technology solutions and industry collaboration to enable global distribution, reduce

operational risk and enhance client profitability. Calastone has offices in London, Luxembourg, Hong Kong and Sydney.

In order to represent the best interests of the industry, Calastone is actively involved with the following organisations; TISA (Tax Incentives Savings Association), TEX (TISA Exchange), WMA, NICSA, ALFI, SMPG, FPG, FSC, AMPS, HKIFA, IMAS, IFA and ACSA.

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