



## LOCAL INSIGHTS, GLOBAL EXPERTISE

Northern Trust in Australia and New Zealand



Northern Trust

## **EXPERTISE, INNOVATION AND A LONG-TERM VIEW**

As an institutional investor, you need a highly collaborative, trusted provider who has the flexibility to adapt to your evolving business.

With the right combination of local expertise, global capabilities and sharp client focus, Northern Trust's unwavering commitment will help you meet your immediate and long-term objectives.

## PROVEN EXPERTISE IN A DYNAMIC MARKET

### Combining local expertise in Australia and New Zealand with a global breadth of capabilities to support your evolving investment strategy.

- Comprehensive **asset servicing solutions** including global and master custody; portfolio valuations; financial, tax and regulatory reporting; investment risk and analytics; investment operations outsourcing; fund accounting; unit pricing; fund administration; and unit registry
- Tailored **investment answers** covering a full range of asset classes including traditional index and customised beta, cash and multi-manager
- Best-of-breed **technology solutions** designed for you and built around our global operating model
- Senior management engagement and **local client servicing** delivered by an experienced team of experts and supported by a global network of industry specialists



Founded in 1889, Northern Trust has a history of strength and stability. We also possess an intricate understanding of the Australian and New Zealand markets gained from supporting clients locally since the mid-1990s. The combination of the two surrounds you with unique insights and strategic perspectives not found elsewhere.

From our branch in Melbourne, we support institutional investors in Australia and New Zealand, including superannuation funds, investment managers, insurance

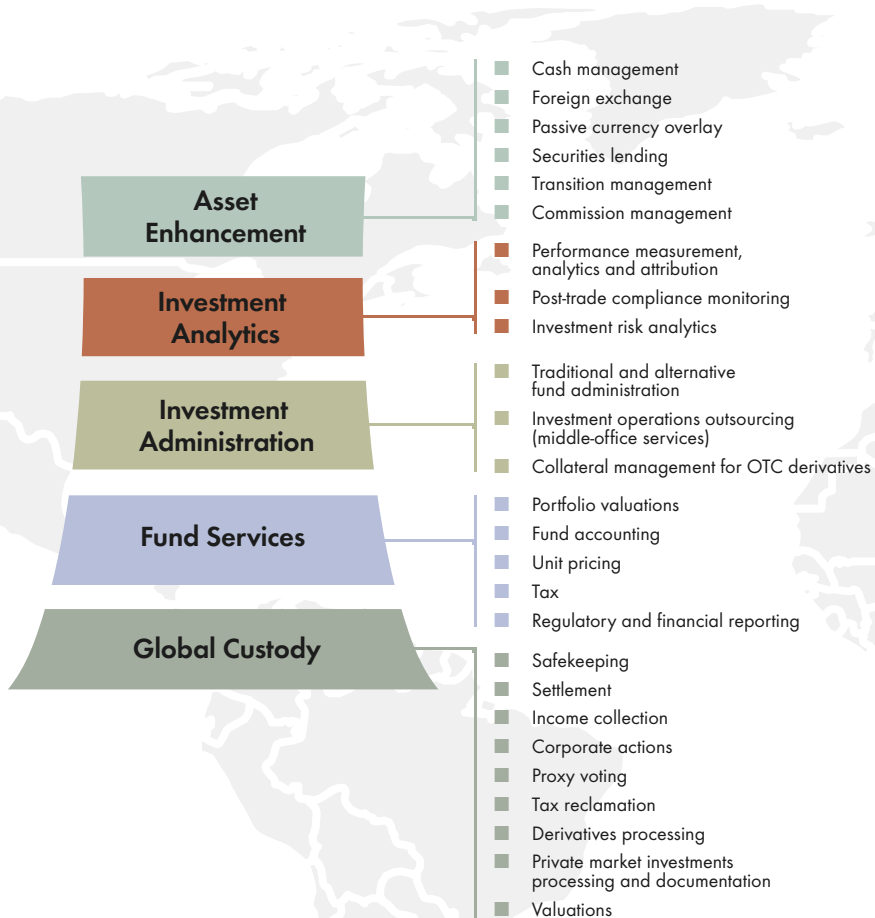
companies and government agencies. Our global capabilities are attuned to local standards, which means you'll receive products and services which leverage our global model but are uniquely tailored to your needs – such as our differentiated Australian tax solution.

With Northern Trust's commitment to innovation and meeting the challenges of the evolving market, you can be assured of our strong and consistent service – allowing you to focus on what really matters.

# ASSET SERVICING SOLUTIONS DESIGNED FOR YOU

## Adapting with the changing business landscape to provide the service you need.

Meet your objectives by leveraging the breadth and depth of our global capabilities, our local market expertise and technological innovations.



## Global custody

Benefit from a full array of global custody services.

- Prudent safekeeping and protection of your assets
- Efficient processing of trade settlements, corporate actions and income collection
- Diligent handling of tax reclamations
- Timely and accurate portfolio reporting
- Wide range of private market solutions including look-through and capital call forecasting
- Enhanced transparency reporting using comprehensive counterparty exposure monitoring tools

Our fully integrated services are supported by a strong worldwide subcustodian network covering multiple markets.

## Fund services

Receive a spectrum of services designed specifically for Australia and New Zealand.

### PORTFOLIO VALUATIONS, FUND ACCOUNTING AND UNIT PRICING

- Efficient, fully integrated custody, portfolio valuation, tax, accounting, performance and analytics platform encompassing our local expertise, specialised reporting and global capabilities

- STP-focused approach with exception-based controls to facilitate accurate and timely NAV delivery
- Flexible NAV and valuation reporting delivery timings incorporating the latest market-close data to meet investment structure requirements

### TAX AND FINANCIAL REPORTING

- Financial statements and regulatory reports that adhere to AAS25 (superannuation funds), IFRS, APRA and ATO requirements
- Tax optimisation at both sector and entity levels for CGT and revenue assets
- Current and deferred tax provisions calculated at manager, asset sector and superannuation fund levels
- Distribution calculations for investment trusts

### UNIT REGISTRY

- Data accuracy achieved through automation, daily reconciliations and a single reporting platform
- Flexible white labelled reporting options

## ASSET SERVICING SOLUTIONS *(continued)*

### Investment administration

Achieve greater operational efficiency through Northern Trust's full array of investment administration services for both traditional and alternative funds.

#### INVESTMENT OPERATIONS OUTSOURCING

- Solutions ranging from single and multiple components to full outsourcing for middle- and back-office investment functions
- Custody-agnostic solutions
- Streamlined collateral management and central clearing solutions for over-the-counter derivatives
- Post-trade compliance and risk services
- Fee billing, invoicing and comprehensive end-client reporting

#### HEDGE FUND ADMINISTRATION

- A fully integrated middle- and back-office platform
- Interactive and real-time transparency into all trade and operational activities through Hedge Fund Passport™
- Integrated support services including custody/segregated custody and trade management

Northern Trust's focused business model, strong leadership and prudent risk management have helped us successfully navigate numerous economic cycles – remaining one of the world's preferred asset servicing providers.



#### UCITS ADMINISTRATION

- Top-tier Irish and Luxembourg UCITS provider
- Comprehensive fund administration, custody, taxation, management company solutions and consultative services for establishing UCITS fund structures
- Tax-efficient solutions, such as Common Contractual Fund (CCF) and Fonds Commun de Placement (FCP), to enhance data transparency
- Flexible online UCITS-compliant risk reports delivered direct to the fund manager or compliance officer

#### PRIVATE EQUITY AND ALTERNATIVE ASSET ADMINISTRATION

- Detailed fund tracking and analysis of private equity holdings – including performance, benchmark and transparency analysis, and risk and liquidity monitoring – via Northern Trust's Private Monitor® service.
- Data and analysis delivered via interactive online tools and customisable reporting
- Integrated accounting and reporting for infrastructure and property assets

- Strong credit ratings over the long term
- Consistently strong capital position

- Long tradition of lower-risk, fee-based revenue
- High-quality, conservative balance sheet



## ASSET SERVICING SOLUTIONS *(continued)*

### Investment and risk analytics

Gain greater portfolio oversight through our continuum of investment risk and analytical products.

#### PERFORMANCE ANALYTICS

- Comprehensive range of meaningful analytics delivered via our proprietary online and interactive reporting portal
- Robust tools to analyse global investment programs daily from a macro to asset-level perspective and beyond
- Flexible reporting and charting elements to help organise results according to custom requirements

#### MARKET RISK SERVICES

- Holdings-based risk analysis that provides a broad range of predictive and historic risk analytics from total investment plan down to security level
- Industry-leading convergence of attribution and risk analysis into a complete and detailed package
- Local market regulatory reporting and stakeholder reporting capabilities

#### COMPLIANCE MONITORING

- Investment guideline compliance tracked on a daily, weekly or monthly basis across single or consolidated account positions
- Total transparency provided in terms of interpretation, guideline specifications and testing package

#### COMMINGLED FUND "PEEK-THROUGH" REPORTING

- Statements of underlying stocks and holdings within unlisted unit trusts
- Integrated with full portfolio data to provide a complete total exposure view
- Measurement and monitoring of counterparty and concentration risk





## Asset enhancement

Maximise returns and minimise expenses with our spectrum of cost-efficient solutions.

### CASH SERVICES

- Interest-bearing accounts, fixed-term deposit accounts, off-balance-sheet vehicles and cash balance pooling products to enhance the value of your liquid assets

### FOREIGN EXCHANGE

- Competitive rates on individual trades and block trading
- Comprehensive capabilities in spot, swap and outright forward individual trades and block trading
- Twenty-four hour dealing support from our trading rooms in Singapore, London and Chicago

### POSITIVE CURRENCY OVERLAY

- Mitigate exchange-rate risks associated with cross-border investments

### SECURITIES LENDING

- Customised programs taking into account risk/return profiles
- Access to a significant lending pool
- Stringent financial viability monitoring of our top-tier global borrowers

### TRANSITION MANAGEMENT

- Efficient and risk-controlled approach to help minimise cost and risk of asset relocation strategies

### COMMISSION MANAGEMENT

- Full pre-crediting of monthly rebates as well as comprehensive web-based reporting via our extensive broker network

### Designing expert solutions to meet your complex challenges and investment goals.

Work with our investment professionals located across Asia, Europe and North America to resolve your investment needs with a broad range of options tailored to your risk-reward profile.

#### CASH MANAGEMENT

- Off-balance-sheet short-term fixed income investment solutions across a range of global currencies
- Ultra-short fixed income strategies in euro, sterling and US dollars designed specifically to suit your needs

#### CUSTOMISED BETA

- Traditional index management spanning regions, sectors and styles, informed by our Intelligent Indexing® approach
- Alternative indexing capabilities delivering detailed knowledge and understanding of alternative indices
- Engineered beta strategies that combine strategic insight, effective execution and flexibility, capturing specific factors and exposures



#### MULTI-MANAGER CAPABILITIES

- A flexible open architecture approach to sourcing external manager solutions, building on our expertise in manager research, selection and oversight, and delivered within a stringent risk management framework.



# YOU WANT INFORMATION AT YOUR FINGERTIPS

## The difference is in the delivery.

- 24/7 portfolio processing and reporting via a single, global technology platform
- Seamless integration of global client and third-party data into one portal
- Flexibility to report, customise, analyse and download portfolio data into Microsoft Excel® and other formats
- Intuitive quick links to generate pre-packaged information specific to your functional role
- Immediate access to portfolio information on-the-go with mobile reporting on Blackberry®, iPhone® and iPad®
- Commitment to continuous system enhancements to support a changing landscape
- Dedicated resources to provide clients with ongoing Northern Trust Passport® support and training

### PASSPORT HOME PAGE

The screenshot displays the Northern Trust Passport interface. At the top, there's a navigation bar with 'Northern Trust | PASSPORT' and user information. Below this, a 'My Passport' section includes tabs for 'REPORTING', 'CASH MANAGEMENT', 'RISK & ANALYTICS', and 'INVESTMENT & RESEARCH'. A 'Table' section shows an 'Account Brief' with columns for 'Market (GBP)', 'Market %', 'Unrealized (GBP)', 'Prev Market (GBP)', and 'MV Change (GBP)'. The table lists various asset classes like Bonds, Equities, Fixed Income, Real Estate, Venture Capital and Partnerships, Commodities, Other Assets, Derivative Offsets, Hedge Fund, Liabilities, and All Other. Below the table is a 'Trade Status' section with columns for 'Account/Consolidation', 'Account', 'Falling Impact', and 'Pending Trades'. The 'Report Center' section is prominent, featuring a 'Reporting Tools' sidebar with options like 'Create a Report', 'Create a Query (SPARK)', and 'Report Library'. The main area shows a 'Report Library' with a list of reports such as 'Asset Type Reporting', 'Cash Management', 'Cash Flows', 'Daily Reports', 'Portfolio Statement', 'Transactions', and 'Unrealized Gains/Losses'. A 'My Report Library' section is also visible, showing a list of reports with checkboxes and a 'Report' button.

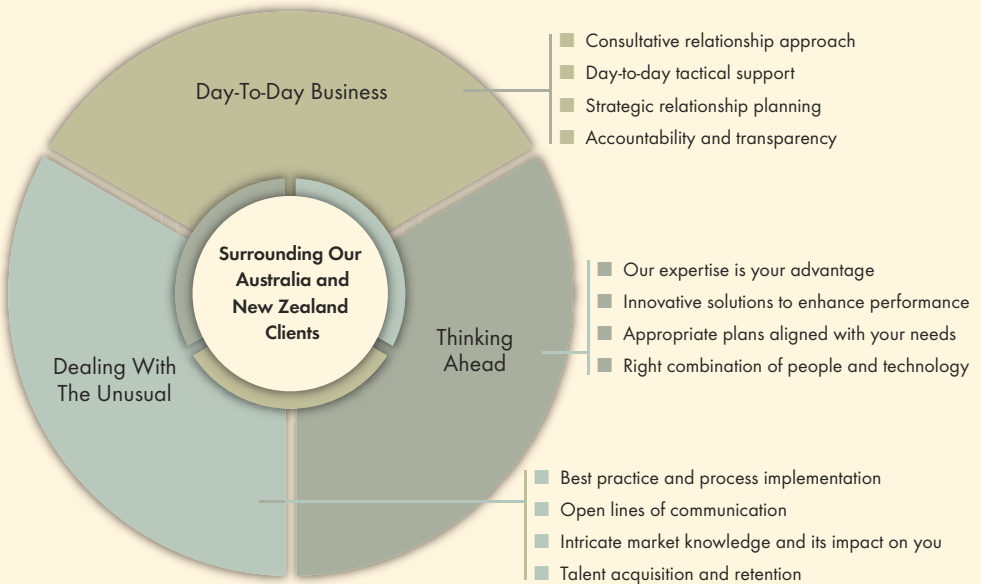
Our highly customisable, web-based information delivery and reporting portal – Northern Trust Passport – not only tells clients WHAT has happened, but also WHY.

## A CONSULTATIVE RELATIONSHIP

### Unparalleled dedication to enhance your client experience.

Receive support for your strategy and business growth from a dedicated local client servicing team that interfaces with our global team. Northern Trust aligns operations with the way you do business to effectively support both your strategic planning and day-to-day operational requirements.

Northern Trust continues to enjoy industry recognition through consistently high survey rankings and awards. These represent independent endorsement of our commitment to quality, expertise and innovation in our services as well as to our values and the development of our people.



## WE TAKE YOUR SUCCESS AS SERIOUSLY AS YOU DO

Our service to you will be continually reviewed and enhanced so we can offer and deliver the latest and most comprehensive products available.

Your business interests will be actively promoted within the industry, through our proactive local engagement with key industry bodies such as the Australian Custodial Services Association (ACSA) and Financial Services Council (FSC). And through ongoing dialogue – delivered via insightful events, conferences, workshops and publications – Northern Trust will continue to play an active role in the development of the market.

By understanding your needs and proactively monitoring industry trends and future initiatives, we are able to specifically address the issues that concern you – whether they relate to data transparency, revenue enhancement, effective portfolio diversification or improved risk management.

Northern Trust offers a client-centric relationship you can trust for the long term.

## FOR MORE INFORMATION

To learn more, please visit [northerntrust.com](http://northerntrust.com).



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**Guernsey**

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**Kuala Lumpur**

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