



PRODUCTS & SOLUTIONS | FORM PF SOLUTION

Confidently Comply with Form PF Requirements with DFIN's All-in-One ArcRegulatory® Solution

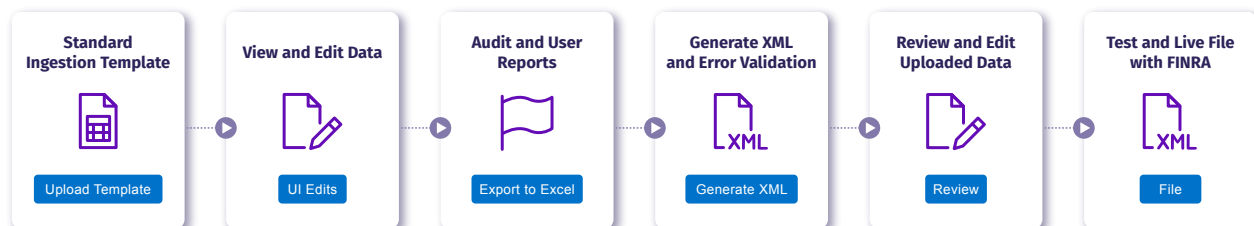
Simplify your filing process. Depend on the industry leader — DFIN.

Form PF is a regulatory filing required by the SEC for investment advisers who manage private funds, hedge funds and private equity funds. To enhance transparency and oversight in the private fund sector and help regulators better monitor systemic risk, the SEC is ushering in more changes in 2025 that will make the reporting process even more challenging and time consuming.

Streamline your Form PF process with ArcRegulatory

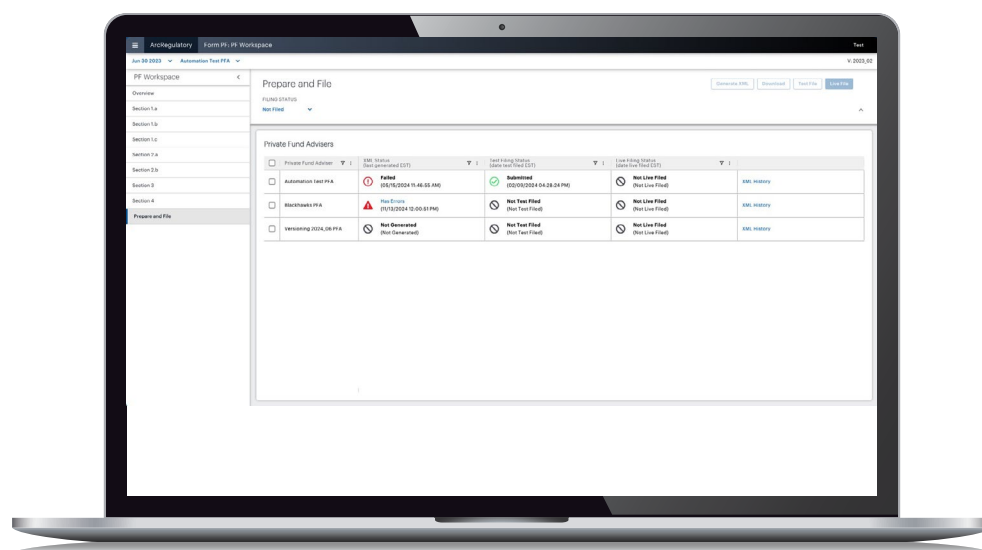
At DFIN, we understand the intricacies of Form PF filings. Investment managers must handle various file formats and complex data input to provide critical operational and financial data for private funds — including investment strategies, asset levels, leverage, counterparty exposures and investor information. Then Form PF must be filed with FINRA on a quarterly or annual basis depending on the adviser's assets under management.

ArcRegulatory, DFIN's innovative global reporting platform, allows you to easily perform these complex regulatory activities through a single, streamlined application. A proven, secure web-based platform, this tool was designed by DFIN's experts to consolidate data and produce XML files that can be easily filed with FINRA.



Benefits of ArcRegulatory's end-to-end solution:

DATA MANAGEMENT MADE EASY	Our defined, loadable template guides you through the data management process.
SAVE TIME WITH SAVED DATA	Roll-forward functionality saves you time and effort by reusing static values from prior periods.
NAVIGATION YOU CAN TRUST	ArcRegulatory's form-based design simplifies the filing in an easy-to-use interface.
REVIEW MADE EASY	User reports and the identification of XML schema errors reduce the burden of review.
TOTAL PROCESS JOURNEY	From loading data to filing with FINRA, you can create your entire filing within ArcRegulatory.
KEEP IT IN THE RIGHT HANDS	User permissions safeguard your report from the wrong editors.
IN-APP TRANSPARENCY	Our detailed audit trails ensure you know exactly what happened, when.
REGULATORY CONFIDENCE	We quickly adapt to changing requirements, so our form is always up to date.



Need to file Form CPO-PQR? ArcRegulatory meets your requirements – from start to finish.

If you are also filing Form CPO-PQR (Commodity Pool Operators-Pool Quarterly Report), you can streamline that process as well with ArcRegulatory. Our innovative global reporting platform consolidates data and produces XML files that you can download for your Form CPO-PQR filing with the NFA.

ArcRegulatory is a full, end-to-end solution for creating, reviewing and filing Form CPO-PQR:

- ✓ Ingest data leveraging standard templates, including CPO-PQR
- ✓ Manage all pools together using the batch processing feature
- ✓ Review and edit uploaded data
- ✓ Roll forward static fund information from prior periods
- ✓ Perform regulatory-specific calculations
- ✓ Create XML for upload to NFA's EasyFile
- ✓ Automate the check of XML schema errors
- ✓ Easily review data within the application or with Excel-based reports
- ✓ Ensure a controlled environment via role-based action
- ✓ Produce audit reports to track user changes

Why DFIN?

ArcRegulatory's two add-on modules for Forms PF and CPO-PQR are based on the framework of DFIN's existing Arc Suite® ecosystem, which is built on the foundation of integrated services that center around our clients, enabling them to customize their experience. To put it simply, we're a single resource that can address all your specific regulatory needs and concerns.

A true all-in-one solution, Arc Suite can help you manage the difficulties and intricacies of a dynamic regulatory environment with more control and confidence. For example, ArcRegulatory's software is automatically updated with new requirements and changing regulations, so you can rest assured your firm is current and in full compliance.

Ultimately, when you choose to work with DFIN, you are preparing for the future.

You're buying into something bigger than a single software solution; you're partnering with an established market leader that is forward leaning and thinking — which, in turn, will help your organization be better prepared for what is to come.

About Donnelley Financial Solutions (DFIN)

Donnelley Financial Solutions (DFIN) is the leading provider of innovative software and technology-enabled financial regulatory and compliance solutions.

We provide regulatory filing and data solutions to public and private companies, mutual funds, and other regulated investment firms. We support every stage of our clients' business and investment lifecycles.

Learn about DFIN's end-to-end risk and compliance solutions

Visit DFINsolutions.com | Call us [+1 800 823 5304](tel:+18008235304)