

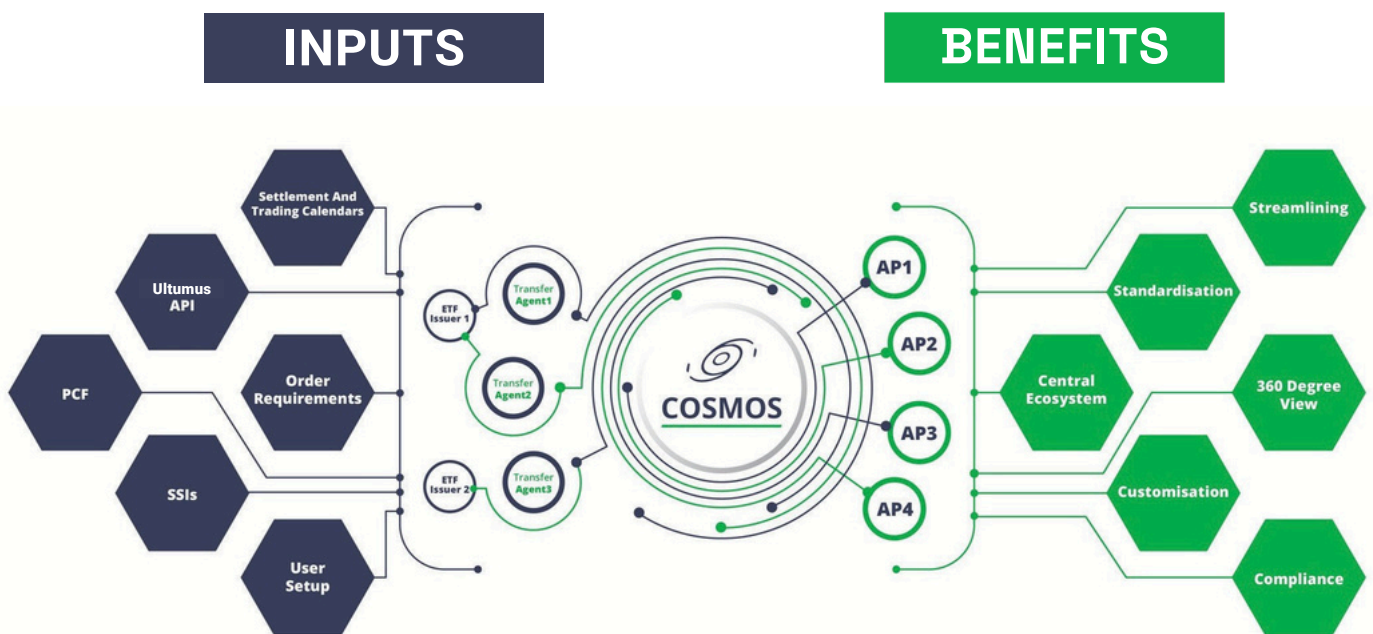
# COSMOS

## ETF Order Management System



COSMOS is a web-based platform that automates the creation and redemption of ETFs. It streamlines all aspects of ETF Primary Market activity, providing an integrated solution for order submission, negotiation, slippage calculation, and more.

Built-in safety features, such as maker/checker functionality and error notification flags, ensure secure and reliable trading. Every month, COSMOS processes billions of dollars in ETF orders.



## KEY FEATURES

- ✓ **Portal:** Standardised to enable APs and Market Makers to seamlessly submit orders, either manually through the UI, via bulk uploads or API integration.
- ✓ **Order Management System:** Facilitates basket negotiation between parties, ensuring efficiency and full auditability.
- ✓ **Security & Entitlements:** Roles and entitlements managed with MFA/SSO with fully customisable user entitlements.
- ✓ **Fully Customisable:** Adaptable and programmable to meet the unique needs and specifications of each Issuer.
- ✓ **Safeguards:** Maker/checker workflows and error notifications enhance reliability at every stage of the transaction; from receipt, approval, pricing to settlement.
- ✓ **Compliance & Transparency:** COSMOS ensures complete end-to-end auditability, with every action recorded for full transparency and regulatory compliance.



Order Blotter - AP

Search: Terms: id, ticker, order status, order type

Start Date: 2024-10-08 End Date: 2024-10-15

Sponsor: Select AP: Select

+ C/R SWITCH BATCH C/R

Order Actions	Order Status	Approved	Asset Set	ETF Set	Order Type	Shares	Units	Settle Type	orderDate	pricingDate	Settle Date	Create Time	notional	assetType	currency	Settlement
<a href="#">Review</a>	Order Sub	●	●	●	Creation	50,000	1.00	Custom	2024-10-10	2024-10-10	2024-10-14	2024-10-10T11:54:53.341	815,295	Equity	EUR	T+2
	Pending Cancel Appr	●	●	●	Creation	50,000	1.00	Custom	2024-10-10	2024-10-10	2024-10-15	2024-10-09T18:14:28.576	773,055	Equity	EUR	T+3
	Order Priced	●	●	●	Creation	50,000	1.00	Cash	2024-10-10	2024-10-10	2024-10-14	2024-10-09T15:46:51.504	773,055	Equity	EUR	T+2
	Cancelled	●	●	●	Redemption	2,500,000	0.25	Cash	2024-10-09	2024-10-09	2024-10-11	2024-10-09T14:02:23.508	210,700,250	Alternative	USD	T+1
<a href="#">Review</a>	Order Sub	●	●	●	Redemption	10,000,000	1.00	InKind	2024-10-09	2024-10-09	2024-10-10	2024-10-09T14:01:41.56	842,801,000	Alternative	USD	T+1
	Order Sub	●	●	●	Creation	5,000,000	0.50	Cash	2024-10-09	2024-10-09	2024-10-10	2024-10-09T14:01:20.425	421,400,500	Alternative	USD	T+1
<a href="#">Review</a>	Order Sub	●	●	●	Creation	10,000,000	1.00	InKind	2024-10-09	2024-10-09	2024-10-10	2024-10-09T14:00:53.888	842,801,000	Alternative	USD	T+1
<a href="#">Review</a>	Order Sub	●	●	●	Creation	10,000,000	1.00	InKind	2024-10-09	2024-10-09	2024-10-10	2024-10-09T13:59:19.144	842,801,000	Alternative	USD	T+1

Order Blotter - Sponsor

Search: Terms: id, ticker, order status, order type

Start Date: 2024-10-08 End Date: 2024-10-15

Sponsor: Select AP: Select

Order Actions	Acknowledged	Confirmed	Order Status	Order Type	Switch Type	Switch Id	Settle Type	Order Id	Pricing Date	Settle Date	NAV	CCY	Gross Amount	Customizations
	●	●	Order Sub	Creation	NonCcySwitch	S241010001	Cash	CASRG00241010001	2024-10-10	2024-10-14	9.1932	EUR	459,660.00	[SwitchOrder]
	●	●	Cancelled	Redemption	NonCcySwitch	S241010001	Cash	RASRF00241010001	2024-10-10	2024-10-14	10.4786	EUR	523,930.00	[SwitchOrder]
	●	●	Order Sub	Creation	None		Custom	CETZ000241010001	2024-10-10	2024-10-14	16.3059	EUR	815,295.00	
	●	●	Pending Cancel Appr	Creation	None		Custom	CETDD00241010002	2024-10-10	2024-10-15	15.4611	EUR	773,055.00	
	●	●	Order Priced	Creation	None		Cash	CETDD00241010001	2024-10-10	2024-10-14	15.4611	EUR	773,055.00	[SettlementPeriod]
<a href="#">Review</a>	●	●	Pending Sponsor Appr	Creation	None		Cash	CESDD00241008001	2024-10-08	2024-10-10	20.7709	USD	41.54	[SizeBelowThreshold]
<a href="#">Review</a>	●	●	Pending Sponsor Appr	Creation	None		Cash	CESD000241008001	2024-10-08	2024-10-10	22.7649	USD	22.76	[SizeBelowThreshold]
	●	●	Acknowledged	Creation	None		Cash	CSPPEU0241008001	2024-10-08	2024-10-10	14.3906	EUR	1,439,060.00	
	●	●	Acknowledged	Creation	None		Cash	CSPFUSD241008002	2024-10-08	2024-10-10	14.3018	USD	7,150,900.00	

## WHAT ARE THE BENEFITS OF USING COSMOS?

- ✓ **Cost Savings:** As a software solution, COSMOS reduces the need for extensive manual processes.
- ✓ **Data Layer:** COSMOS embeds underlying Ultimus data, automatically pulling in all fund attributes and baskets.
- ✓ **Straight-Through Processing:** COSMOS enables fund administrators to seamlessly process ETF orders.
- ✓ **Error Reduction:** The standardised, automated system minimises the risk of human error.
- ✓ **Transparency:** Simplified and more efficient managerial oversight, with full visibility into operations.
- ✓ **Global 24/5 Support:** Clients benefit from our global support network, ensuring expert assistance is available at all times.

## ULTIMUS: POWERING THE ETF & INDEX ECOSYSTEM

- **Expertise:** Industry experts with hands-on experience in ETF data across trading, risk, and performance.
- **Support:** Global team available 24/5 via phone, email, and messaging platforms.
- **Trusted Provider:** 20+ years serving leading banks, asset managers, and exchanges.
- **Technology:** Committed to innovation in cloud-based ETF data management.

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