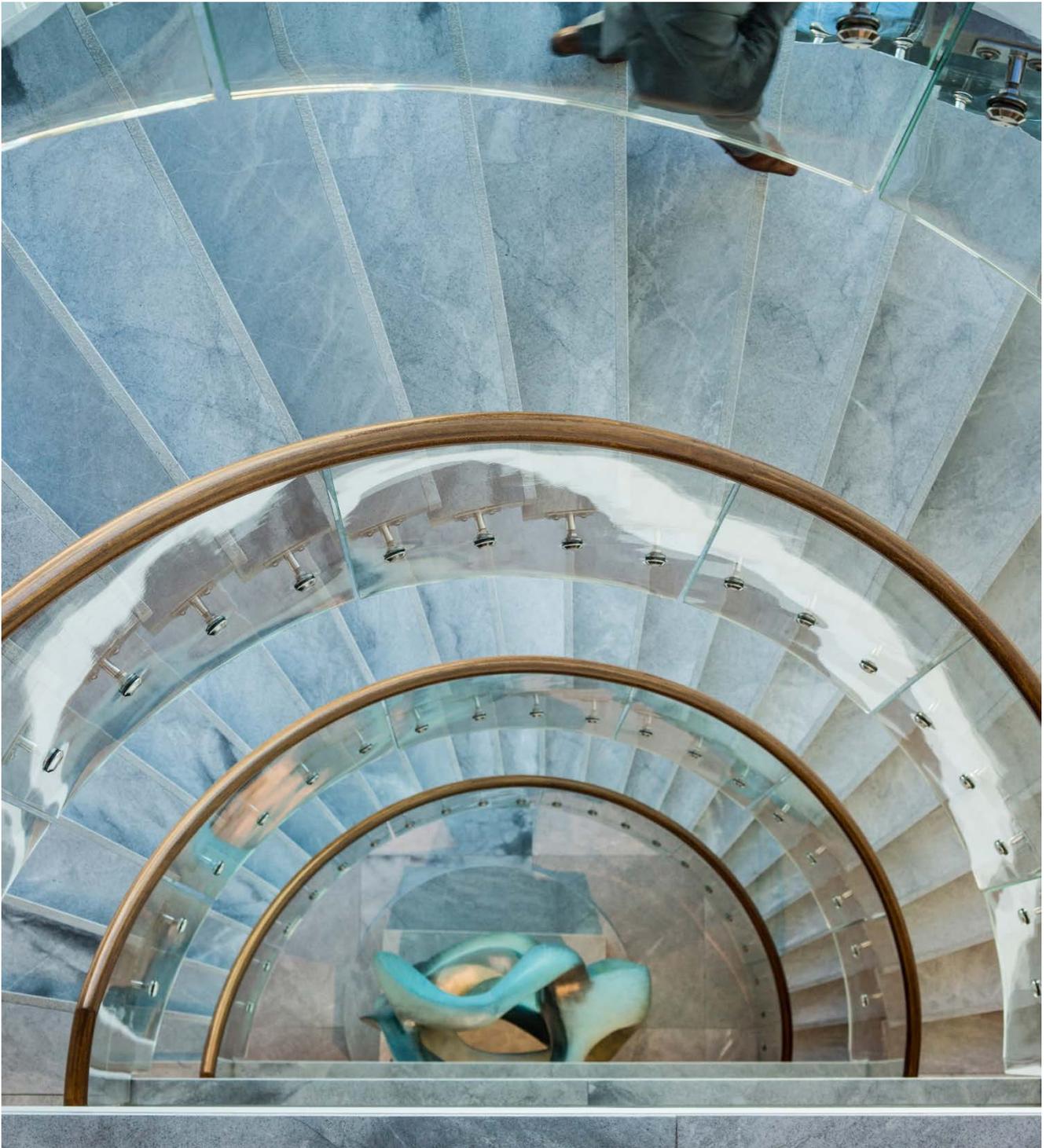


Due diligence process for external managers - User guide



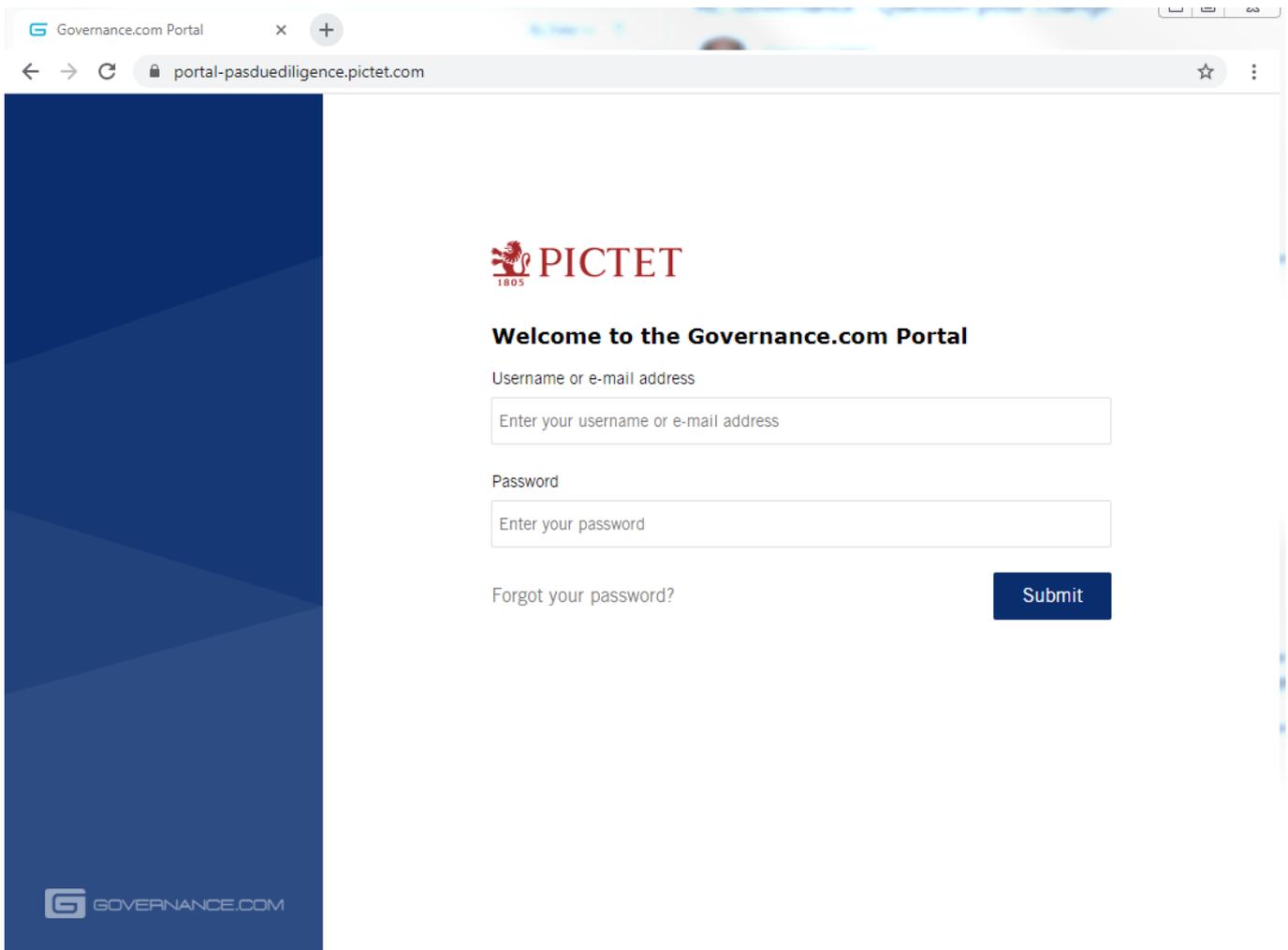
Due diligence process for external managers - User guide

For the best user experience, we highly recommend using one of these internet browsers:

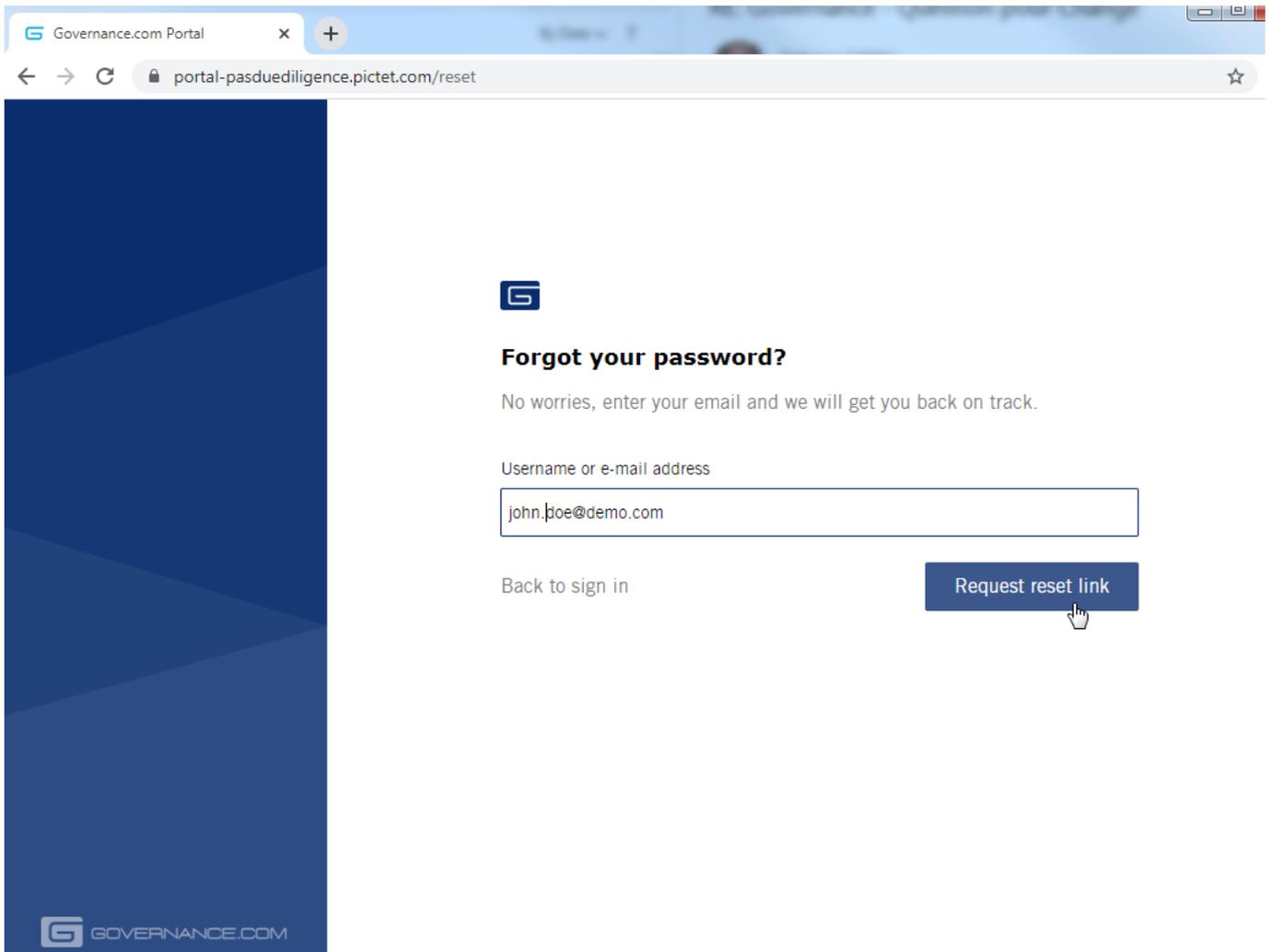
- Google Chrome 48 or higher
- Firefox 48 or higher
- Safari 9 or higher
- Internet Explorer 11 or higher

Go to the following site to log in for the first time: <https://portal-pasduediligence.pictet.com/>

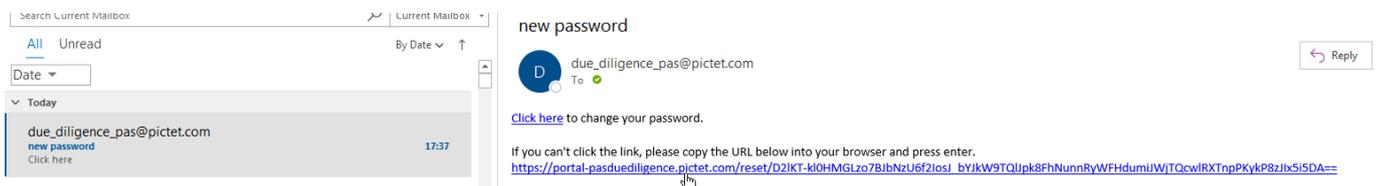
Click on “Forgot your password?” to create a new password to be used with your work e-mail address.



Click “Request reset link”.



You will receive an e-mail from due_diligence_pas@pictet.com. Click on the link and follow the instructions.



Set your new password with at least:

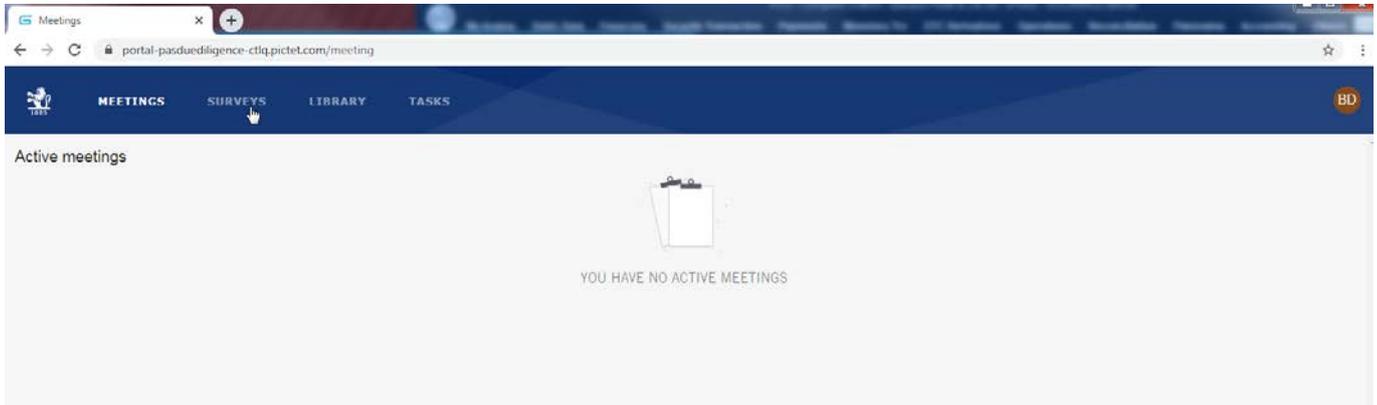
- 8 characters
- 1 uppercase letter
- 1 number
- 1 special character



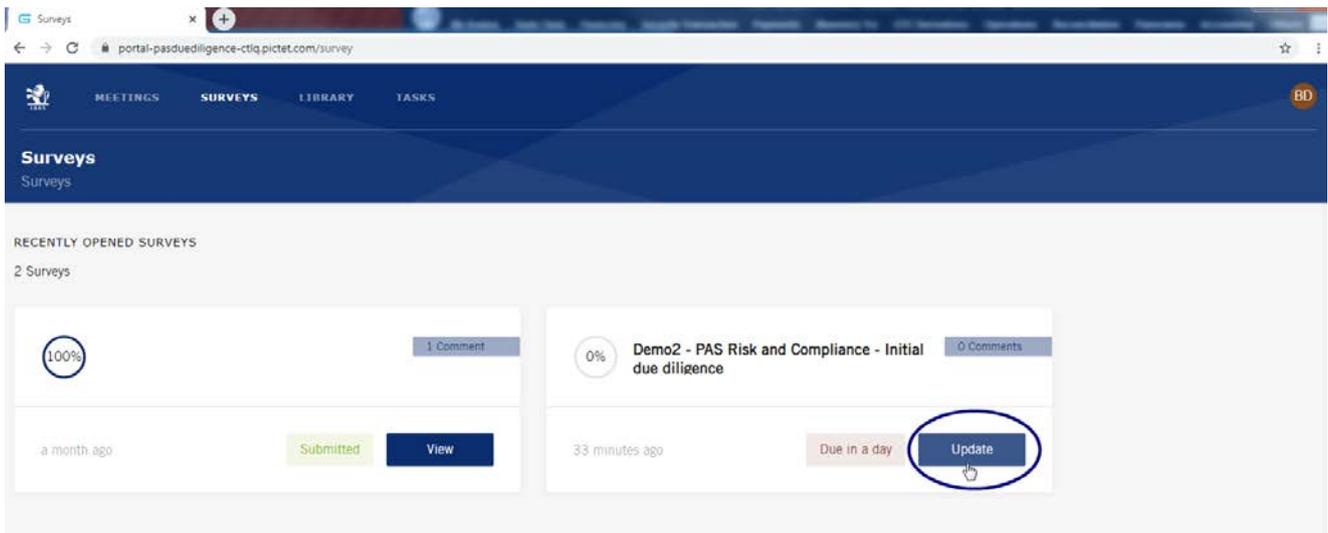
Afterwards, refresh your internet browser and log in to:

<https://portal-pasduediligence.pictet.com/>

1 – To access to the survey, go to the “Surveys” menu



2 –To start the survey click on the “Update” button



3 – The left-hand side of the screen shows you various information:

- How much of it you have already completed.
- The structure of the survey with the different parts and questions.
- Links to jump to a specific part or question.
- A filter to see only certain questions.

The screenshot displays a web browser window with a survey titled "Demo3 - PAS Risk and Compliance - Initial due diligence". The browser address bar shows the URL: portal-pasduediligence-ctliq.pictet.com/survey/48CdBDExQ19PBd5LlK5CuA/9bqEUt1FRgfmQXZcCxoIDx#5Mfo8HLG4H9qMQpXZUtBmH. The page features a dark blue header with navigation tabs: MEETINGS, SURVEYS, LIBRARY, and TASKS. An "Export PDF" button and a menu icon are visible in the top right. The main content area is divided into a left sidebar and a main panel. The sidebar shows a progress indicator at 22% and a "Close filters" button. Below this is a search bar and three filter options: "Unanswered Questions", "Rejected questions", and "Hide approved questions". A tree view under "1 IAM details" lists questions 1.1 through 1.6, with 1.2 "Date of incorporation*" selected. The main panel displays question 1.1: "Registered name of legal entity*" with a text input field containing "Demo 3" and a "Continue" button. Below it is question 1.2: "Date of incorporation*" with a date input field containing "01/08/2020" and a "Continue" button. At the bottom, question 1.3: "Country*" has an empty text input field and a "Continue" button. A "Submit Answers" button is located at the bottom right. A note at the bottom left states: "You must fill in all required questions before submitting the survey."



4 – The survey is now open. Click “Continue” or scroll down to go to the next question or menu.

- An asterisk indicates mandatory questions.
- You can re-use a previous answer by clicking the “Use a previous answer” button. This works only if you have already completed a survey.
- You can add a comment by clicking the “Comment” button. Comments will not appear on the answer but will be sent to the compliance officer for additional information.

The screenshot shows a web browser window with the URL `portal-pasduediligence-ctiq.pictet.com/survey/48CdBDExQ19PBd5Lk5CuA/9bqEUt1FRgfMQXZcCxiDx#5Mfo8HLG4H9qMQpXZUt8mH`. The page has a dark blue header with navigation tabs: MEETINGS, SURVEYS (active), LIBRARY, and TASKS. A user profile icon 'BD' is in the top right. Below the header is a navigation bar with 'Export PDF' and a menu icon. The main content area is divided into a left sidebar and a main panel. The sidebar shows a progress indicator for 'Demo3 - PAS Risk and Compliance - Initial due diligence' at 22%, a search bar, and filter options: Unanswered Questions, Rejected questions, and Hide approved questions. Below the filters is a tree view with '1 IAM details' expanded, showing sub-items: 1.1 Registered name of legal entity*, 1.2 Date of incorporation*, 1.3 Country*, 1.4 Low risk*, 1.5 Regulator/ Self-Regulatory Organization (SRO)*, and 1.6 Licence copy. The main panel displays three question cards. Card 1.1: 'Registered name of legal entity*' with a text input containing 'Demo 3', 'ADD COMMENT >', 'CLEAR PREVIOUS ANSWER >', and 'Continue'. Card 1.2: 'Date of incorporation*' with a date input containing '01/08/2020', 'ADD COMMENT >', 'USE PREVIOUS ANSWER >', and 'Continue'. Card 1.3: 'Country*' with an empty text input, 'ADD COMMENT >', 'USE PREVIOUS ANSWER >', and 'Continue'. At the bottom left, a message states: 'You must fill in all required questions before submitting the survey.' At the bottom right, there is a 'Submit Answers' button.



5 – Different types of questions are answered in different ways (drop-down list, date, free text, tick the box, drag & drop documents, etc.).

One type of question must be filled in carefully: the answer grid. With this type of question, you can create multiple lines with multiple answers. To add each line to the answer before adding another one, you have to click the “Save” button.

2) Important to facilitate confirmation or rejection of potential matches with World-Check/Pythagoras records

Last name, first name and gender 2)

Miller, Vanessa, Female

Role

1. Shareholder

2. Founder

3. Director/Board member

Date of birth 2)

01/01/1980

Save

Last name, first name and gender 2)	Role	Date of birth 2)
Doe, John, Male	<input checked="" type="checkbox"/> Shareholder <input type="checkbox"/> Founder <input type="checkbox"/> Director/Board member	1980-01-01

6 – The survey must be filled in entirely before you can send it. Check the status on the left-hand side of the screen to see if you have reached the end. It must read 100% to be able to submit the survey.

Demo3 - PAS Risk and Compliance - Initial due diligence

100%

Close filters

Search...

Unanswered Questions

Rejected questions

Hide approved questions

> 1 IAM details

> 2 Structure

∨ 3 Crossborder

3.1 Crossborder, tax compliance and other client onboarding aspects*

3.2 IAM Crossborder risk mitigation - license

Crossborder

Continue

No questions matched your filters

All required questions have been answered. Click the button once you are ready to submit the survey for review.

Submit Answers



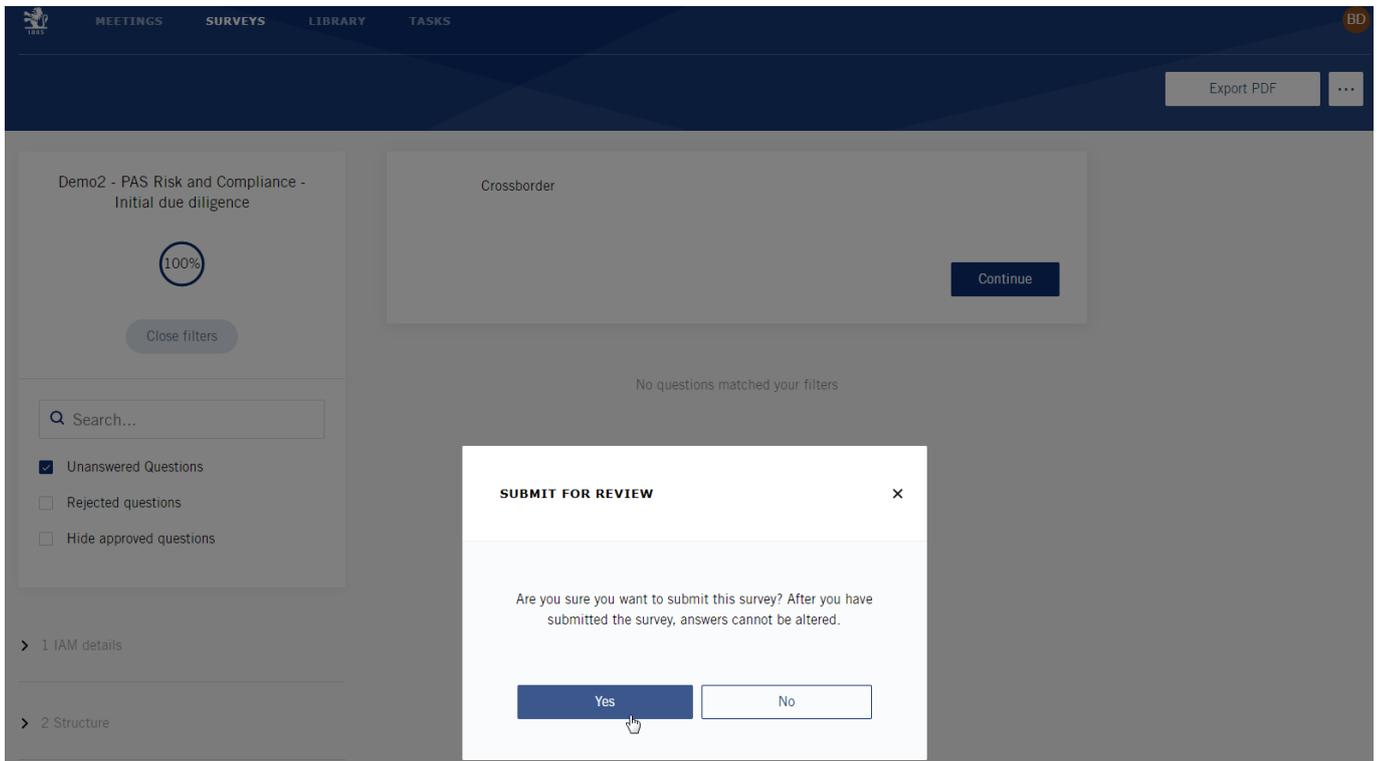
If you have not reached 100%, you can use the filter to find unanswered questions. The filter applies to the part of the survey you are currently completing (i.e. if the survey has different parts, you might have to apply the filter to different sections to find unanswered questions.)

The screenshot displays a survey interface with a dark blue header. The header contains navigation links: MEETINGS, SURVEYS, LIBRARY, and TASKS. On the right side of the header, there is an 'Export PDF' button and a menu icon. A user profile icon labeled 'BD' is also visible in the top right corner.

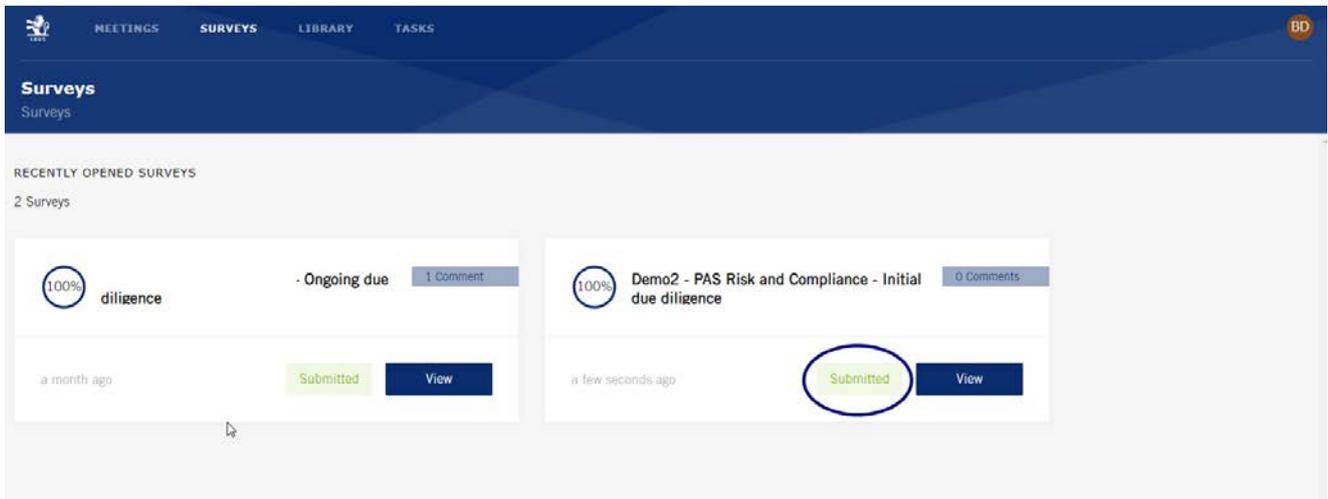
The main content area is divided into several sections:

- Progress Section:** A circular progress indicator shows 89% completion. Below it is a 'Close filters' button.
- Filter Menu:** A search bar labeled 'Search...' is present. Below it are three filter options:
 - Unanswered Questions
 - Rejected questions
 - Hide approved questions
- Question Section:** A question titled '2.2 Number of employees*' is displayed. It includes a text input field and two buttons: 'ADD COMMENT >' and 'USE PREVIOUS ANSWER >'. A 'Continue' button is located at the bottom right of the question area.
- Structure Section:** A box labeled 'Structure' is visible, containing a 'Continue' button.
- Navigation List:** A vertical list on the left side shows the survey structure:
 - > 1 IAM details
 - ▼ 2 Structure (highlighted with a mouse cursor)
 - 2.1 Major IAM shareholders* 1), founding partners*, directors*
 - 2.2 Number of employees*
 - > 3 Crossborder

7 – You can now submit the survey.



In the “Surveys” section, the status turns green.



Note:

After the submission, your CRM may contact you to ask additional information regarding a specific topic. You will be able to answer through this screen.