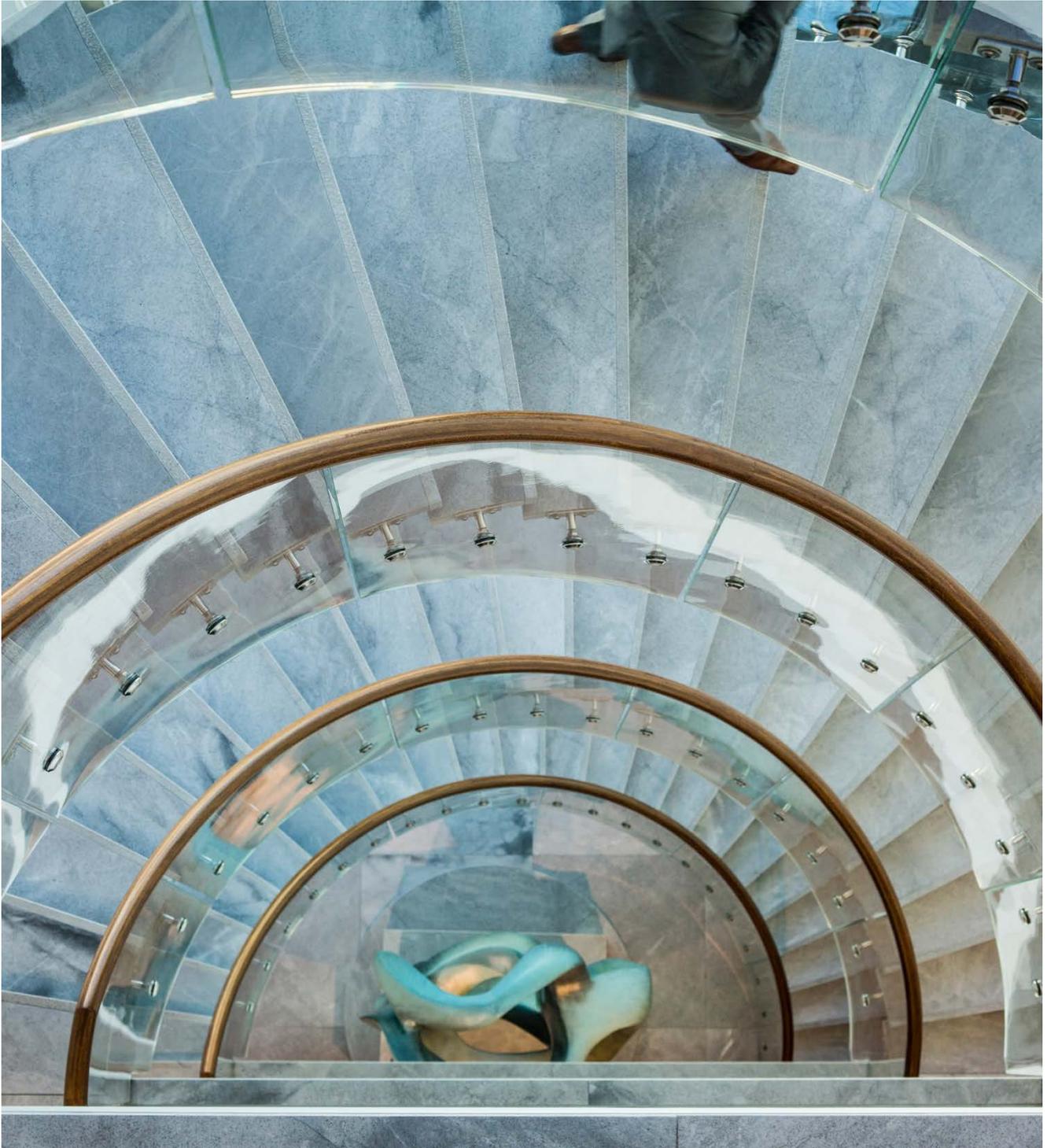


KPI process for external managers - User guide



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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.

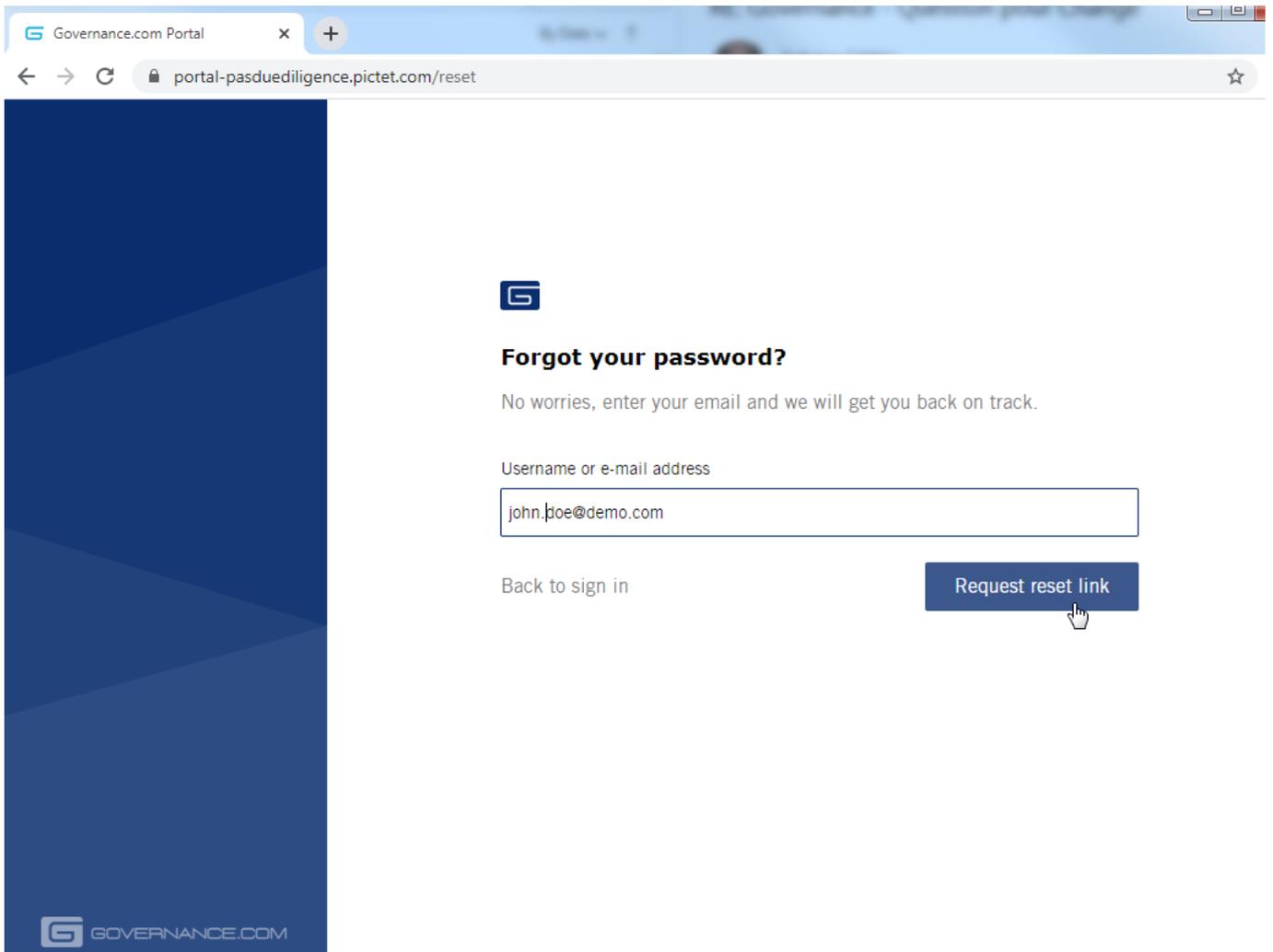
Username or e-mail address

Password

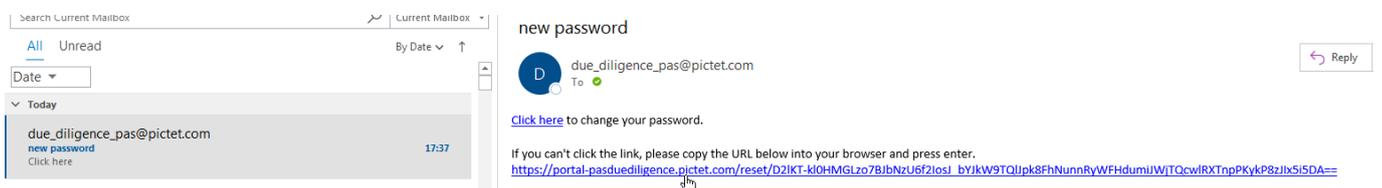
[Forgot your password?](#)



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:

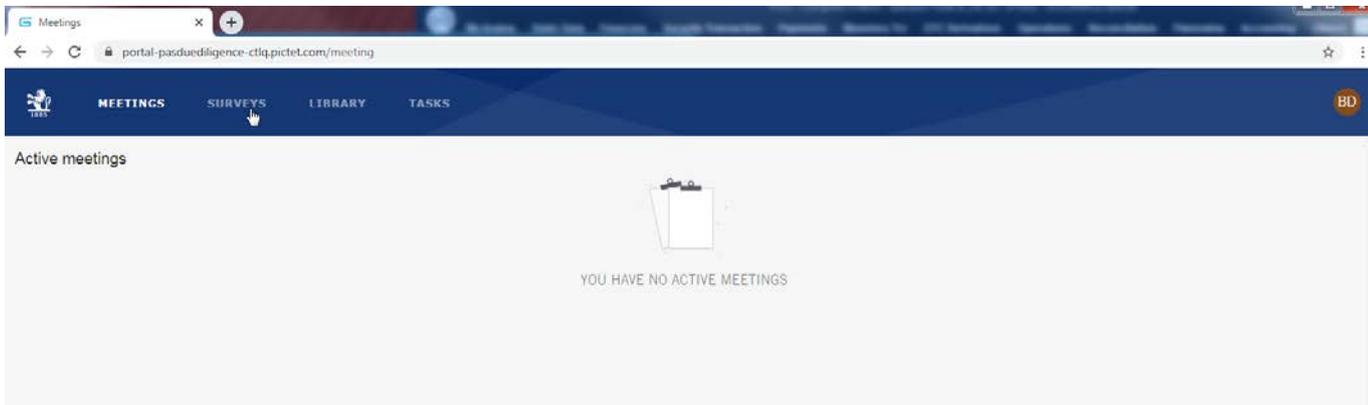
- 8 characters
- 1 uppercase letter
- 1 number
- 1 special character



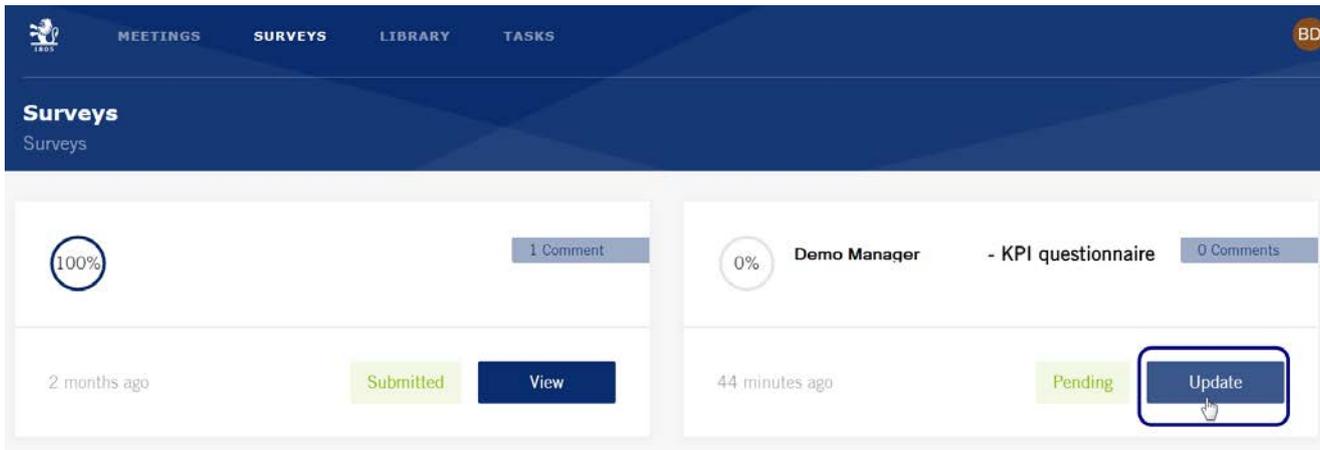
Afterwards, refresh your internet browser and log in to:

<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. It is possible to leave and come back to the survey as many times as necessary.



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 survey interface with a dark blue header. The header contains navigation tabs for 'MEETINGS', 'SURVEYS', 'LIBRARY', and 'TASKS', along with an 'Export PDF' button and a 'BD' logo. The main content area is divided into several sections:

- Progress:** A circular progress indicator shows 43% completion, with a 'Close filters' button below it.
- Search and Filters:** A search bar is followed by filter options: 'Unanswered Questions', 'Rejected questions', and 'Hide approved questions'.
- Navigation:** A list of sections: '1 Organisation', '2 Investment Management', and '3 Operations' (which is expanded).
- Question 3.1:** 'Have you identified any pre or post-trade incident during the last quarter? If yes, please provide details.' The answer field contains 'No incident during the last quarter'.
- Question 3.2:** 'Have you undergone any operational issue during the last quarter? If yes, please provide details.'
- Buttons:** 'Continue' buttons are present for each question, and a 'Submit Answers' button is at the bottom right.
- Footer:** A note 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 add a comment by clicking the “Comment” button. Comments will not appear on the answer but will be accessible by the relevant parties at Pictet for additional information. You should then be contacted by your Investment Management Oversight Officer through this comment area.

The screenshot shows a web-based survey interface. At the top, there is a dark blue navigation bar with the Pictet logo on the left and 'MEETINGS', 'SURVEYS', 'LIBRARY', and 'TASKS' in the center. On the right side of the bar, there is an 'Export PDF' button and a menu icon. Below the navigation bar, the main content area is divided into several sections. On the left, there is a sidebar for 'Demo Manager - KPI questionnaire' showing a progress indicator at 43% and a 'Close filters' button. Below this is a search bar and a list of filter options: 'Unanswered Questions', 'Rejected questions', and 'Hide approved questions'. The main content area is titled 'Operations' and contains two questions. Question 3.1 asks 'Have you identified any pre or post-trade incident during the last quarter? If yes, please provide details.' and has a text input field containing 'No incident during the current year'. Question 3.2 asks 'Have you undergone any operational issue during the last quarter? If yes, please provide details.' Both questions have an 'ADD COMMENT >' button and a 'Continue' button. At the bottom of the page, there is a 'Submit Answers' button and a note: 'You must fill in all required questions before submitting the survey.'

5 – 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.

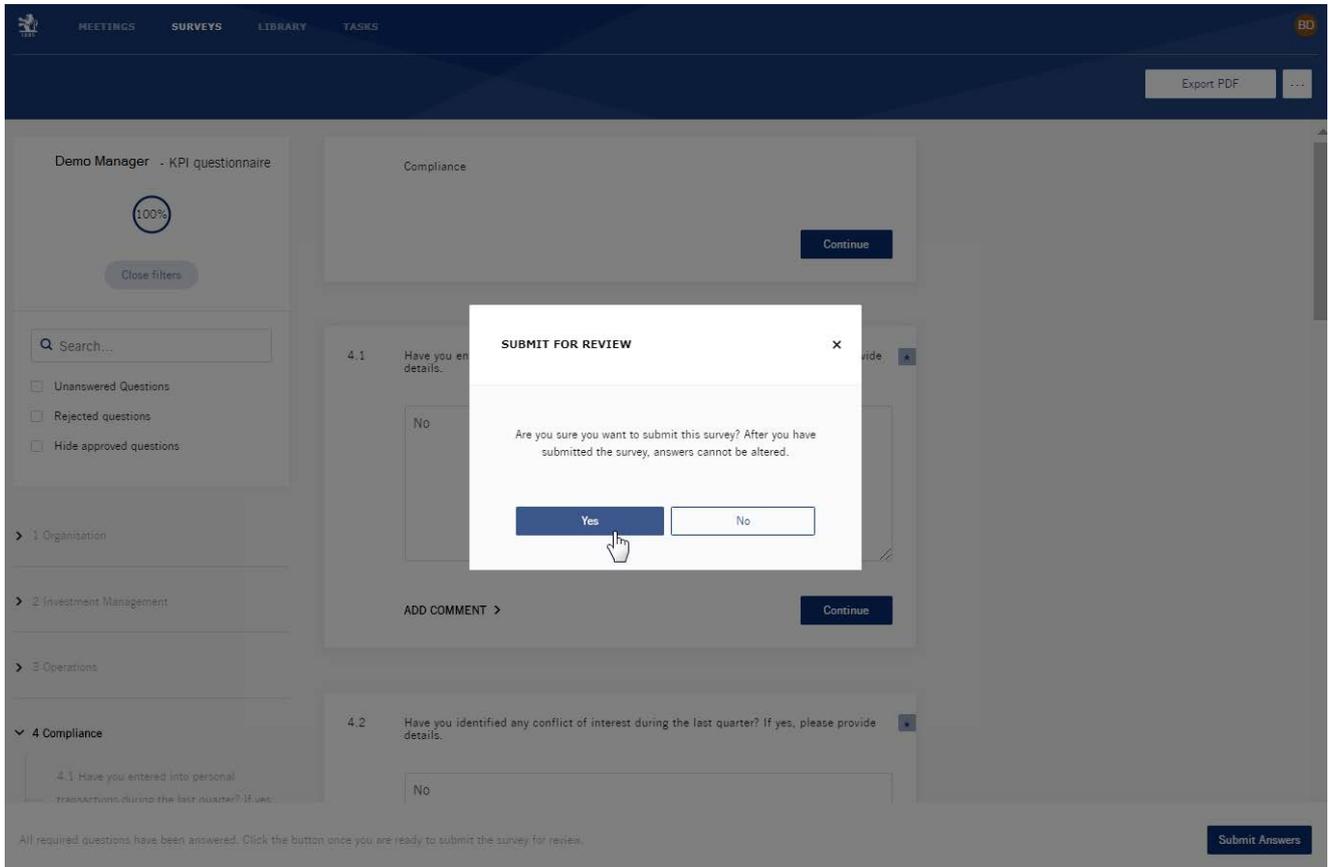
The screenshot displays a survey completion interface. At the top, a dark blue navigation bar contains the text 'MEETINGS SURVEYS LIBRARY TASKS' and a 'BD' logo. An 'Export PDF' button is visible in the top right corner. The main content area is divided into a left sidebar and a central question area. The sidebar, titled 'Demo Manager - KPI questionnaire', shows a '100%' completion indicator and a 'Close filters' button. Below this is a search bar and filter options: 'Unanswered Questions', 'Rejected questions', and 'Hide approved questions'. A list of categories is shown with expandable arrows: '1 Organisation', '2 Investment Management', '3 Operations', and '4 Compliance'. The '4 Compliance' section is expanded, showing question 4.1: 'Have you entered into personal transactions during the last quarter? If yes, please provide details.' The answer 'No' is entered in the text box. Below the question is an 'ADD COMMENT >' link and a 'Continue' button. Question 4.2 is also visible: 'Have you identified any conflict of interest during the last quarter? If yes, please provide details.' with the answer 'No' entered. At the bottom of the sidebar, a message states: 'All required questions have been answered. Click the button once you are ready to submit the survey for review.' A 'Submit Answers' button is located at the bottom right of the main content area, with a mouse cursor hovering over it.



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 for 'Demo Manager - KPI questionnaire'. At the top, a dark blue navigation bar contains 'MEETINGS', 'SURVEYS', 'LIBRARY', and 'TASKS', along with a user profile icon 'BD' and an 'Export PDF' button. The main content area is divided into a left sidebar and a central question area. The sidebar shows a progress indicator at 91% and a 'Close filters' button. Below this is a search bar and a filter menu with three options: 'Unanswered Questions' (checked), 'Rejected questions', and 'Hide approved questions'. The sidebar also lists '1 Organisation' and '2 Investment Management' (highlighted with a mouse cursor). The central area shows a question titled '2.1 Have you had the opportunity to exercise voting rights on behalf of the managed sub-fund(s) during the last quarter?' with a text input field and a 'Continue' button. Below it is a question titled '2.4 Quarterly market review' with a text input field and a 'Continue' button. At the bottom of the sidebar, a note states 'You must fill in all required questions before submitting the survey.' and a 'Submit Answers' button is visible.

6 – You can now submit the survey. You will not be able to change the survey once you send it.



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

