



British Asset Manager

Using FundApps'
Shareholding Disclosure
and Position Limits Services

CASE STUDY



The Challenge

Previously, our client had a central team dedicated to managing their shareholding disclosure process. However, they came to the realisation that they needed an efficient solution that would assure them that they were **compliant with disclosure regimes globally**.

Their need for our Position Limits service came later, as a business restructure left them with a need to **replace what was previously an internal module**. As our service automates the monitoring of derivative contract limits across multiple exchanges, they realised that it could vastly reduce the manual effort required from the team.

Established in 2016 and with offices around the world, our client uses both the FundApps Shareholding Disclosure and Position Limits services.

In their search for a solution which could provide them with **global rule coverage** they chose FundApps back in 2018.

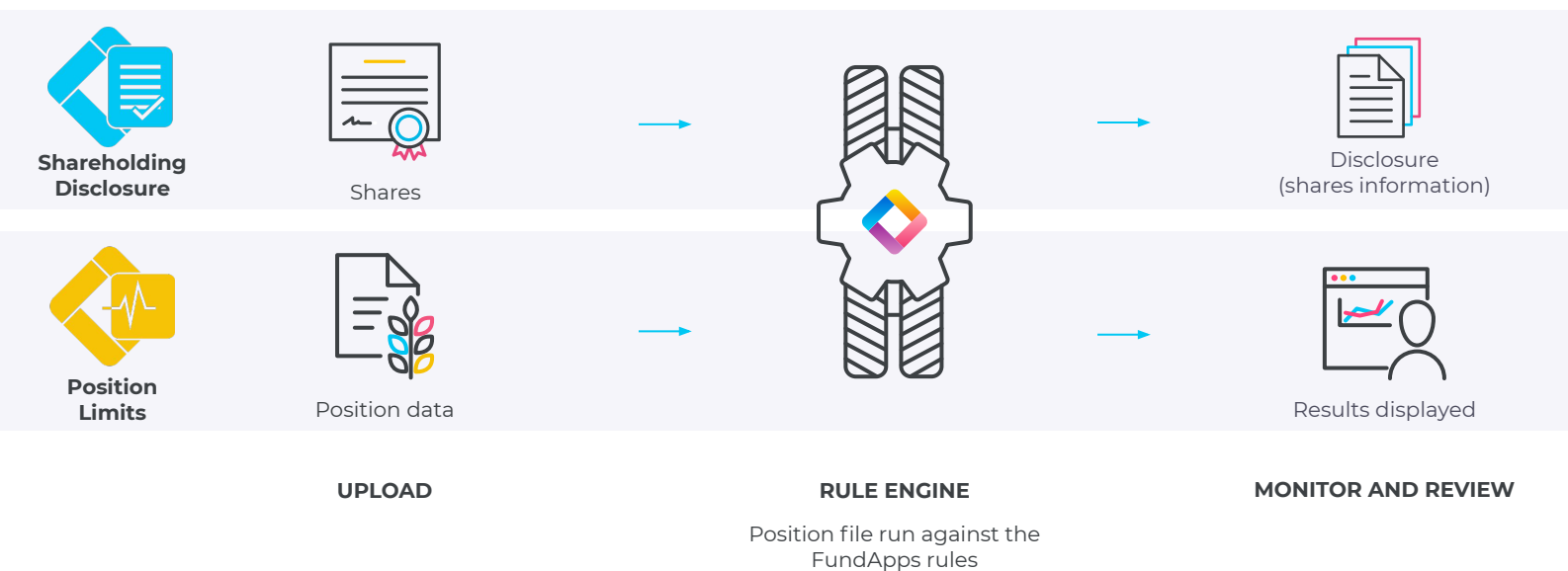
US \$1 Billion AuM British Asset Manager

The FundApps Process

For our Shareholding Disclosure service we receive legal and regulatory information from aosphere (an affiliate of Allen and Overy) and source other market data such as takeover panels.

For our Position Limits service we gather position limit data from a number of sources, including exchanges themselves, and we have also integrated with FIA Tech, allowing us to support over 80 global exchanges covering futures, options and swap contracts.

Our in-house team of **regulatory experts** interprets this information and codes it into rules. These rules are validated and used by all FundApps clients, ensuring they remain compliant at all times.



- 1 Easily and securely upload your positions data to our cloud-based platform
- 2 Have your data analysed in a matter of minutes and automatically monitor your positions
- 3 Simply file your disclosures and review warnings as positions approach exchange-imposed limits

The Solution

In their search for a better solution with a global rule repository our client was **recommended** FundApps. Through our partnership with aosphere (an affiliate of Allen & Overy) our Shareholding Disclosure service covers nearly 100 countries, and contains 400 disclosure rules.

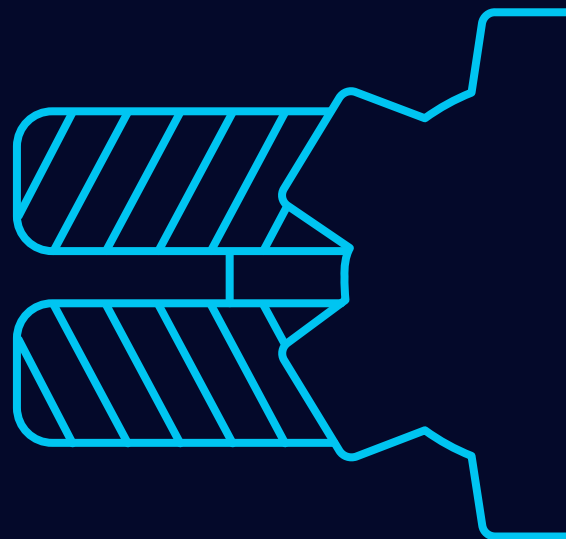
Given the nature of their business, our client especially benefits from the coverage of short **selling rules** in Europe and Japan, and the SEC's **13F** in the United States.



Our automated **Position Limits** service eliminates the need to manually source information directly from the exchange to determine derivative limit windows.

Our **easy-to-use User Interface** (UI) means that they can monitor limits across multiple jurisdictions from a single dashboard. Their team is then alerted via email with a daily snapshot of their results. They can then view the results in the UI, which contains embedded workflow functionality and audit trails.

With FIA Tech's integration, our Position Limits service supports 80 global exchanges covering **futures, options and swap contracts**. Our client's team are frequent users of our service's coverage for futures in Hong Kong and the CFTC.



“The FundApps platform’s user-friendly interface, global repository and pre-populated forms enable us to ensure we are compliant with local regulatory and exchange requirements.”

Chief Operating Officer



The implementation process was quick, and our client was able to get up and running with our automated Shareholding Disclosure service within just three months. This reduced their need for manual work, **saving their team lots of time.**

When they selected us to automate their position limit monitoring, they were similarly able to start using the service within just three months.

The reliability of our post-trade reporting tools has enabled them to more accurately meet their regulatory obligations, minimising their risk of receiving fines or damaging their reputation. Our Shareholding Disclosure service contains over 150 pre-populated forms for **quick disclosure reporting to the relevant regulatory body.**

Our client was able to focus key resources away from gaining a detailed regulatory understanding of very diverse regimes by relying on the FundApps in-house team of regulatory experts.

Our Regsperts constantly source the latest regulatory information required to update and maintain the rules. Instead, the client can focus their resources on other risk areas which are deemed critical to their investors, whilst simultaneously **maintaining a robust compliance framework.**

Over the two years that our client has been using the FundApps platform they have found both the Shareholding Disclosure and Position Limit services to be **very simple to use** and **easy to maintain.**



Let's make compliance simple!

Email us for more information or to book a demo:

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