







Shareholding Disclosure

Helping investment managers automate their disclosure requirements for major shareholding, short selling and takeover panels

 **100+ Global Jurisdictions:** legal information from aosphere (an affiliate of Allen & Overy); interpreted by a dedicated “Regspert” team; approved by the FundApps Community

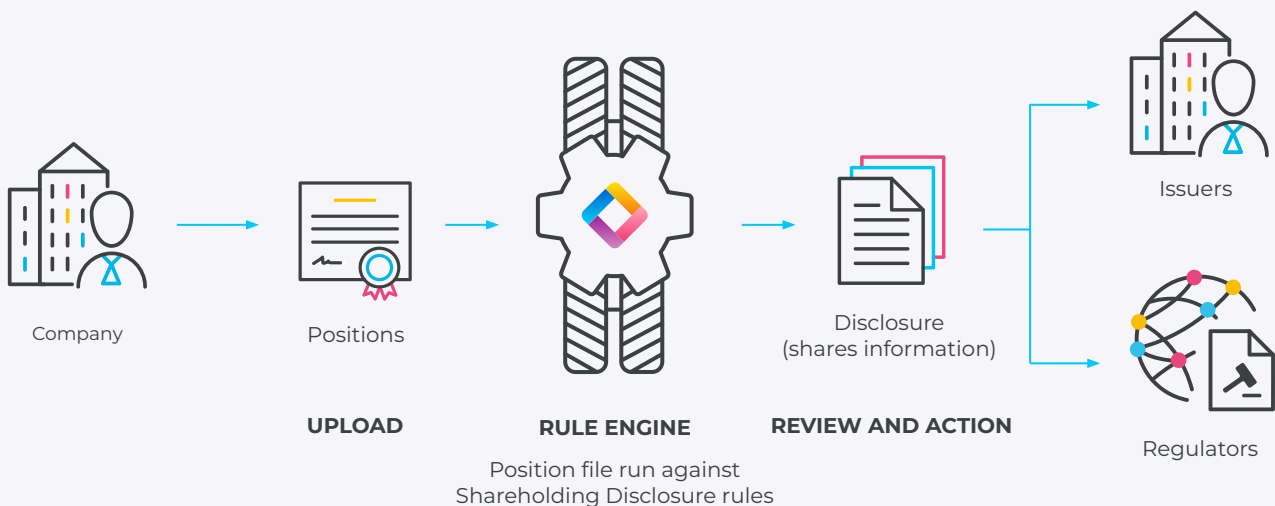
 **450+ Rules:** automating checks for major shareholding, SEC’s Section 13, short selling, takeover panels, issuer limits, issuer requests

 **35+ Regulatory Lists:** providing essential data as often as every 3 hours; includes takeover panel lists, ESMA’s FIRDS database, SEC’s 13F list and more

 **180+ Disclosure Documents:** rapid reporting with many pre-populated forms for the relevant regulator

How FundApps automates Shareholding Disclosure

We use legal and regulatory information from our legal and regulatory data provider and source other market data such as takeover panels. Our in-house team of regulatory experts (“Regsperts”) interprets this information and codes it into rules. These rules are used by all FundApps clients, ensuring they remain compliant at all times. Your positions file is run against the Shareholding Disclosure rules and the system automatically notifies you when disclosures are required.



1 Easily and securely upload your positions data to our cloud-based platform

2 Have your data analysed in a matter of minutes and be automatically notified of any required disclosures

3 Simply file your disclosures with our automatically generated and pre-populated forms

Helping compliance professionals get a good night's sleep

Prove adherence to regulation

Clients use our service to maintain an audit of their actions. 100% of live clients report that our service has proven useful in demonstrating appropriate due diligence and meeting regulatory obligations.

Reduce the time and cost of Shareholding Disclosure

Clients use our service to reduce the amount of time and effort they spend managing Shareholding Disclosure. One-in-two estimate that we have helped to introduce daily time savings of 50% on average.

Reduce risk and avoid fines by disclosing on time without mistakes



The First Compliance-As-A-Service (CaaS) Solution

As the first CaaS provider for Shareholding Disclosure, we have developed a truly market-leading solution with an abundance of innovative features. Even our competitors openly acknowledge our service to be the "Rolls Royce" of the industry in terms of quality and reliability.



Denominator Check

The Automated Community Denominator Check highlights the differences between denominator values (e.g. total shares outstanding) uploaded by FundApps customers. This reduces manual processes - increasing efficiency and confidence when disclosing.



Room-In-A-Name

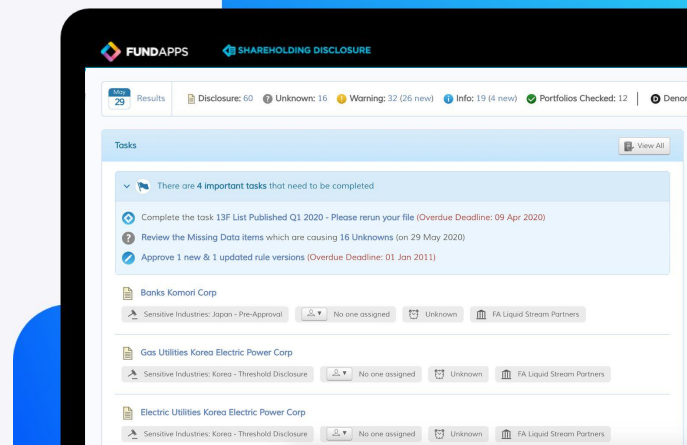
Room-In-A-Name calculates how much can be traded ("Room") in an issuer ("Name") before reaching the next reportable threshold. Having this information visible in the service, and optionally integrated with your OMS, ensures compliance and front office teams are connected with time to anticipate upcoming filings.

Retire unsuitable software and processes

Clients use our service to move away from error-prone and unreliable systems and processes. 100% of clients associate high operational risk with their internal systems and two-out-of-three clients have legacy systems they go on to retire after making the switch to FundApps.

Avoid fines and reputational damage

Clients use our service to avoid fines and disclaimers to investors on their Form ADV. One-in-two users report that we have at least halved, if not completely relieved, their daily concern regarding the management of Shareholding Disclosure.



Global Company Database

For compliance professionals around the world who constantly need to source up-to-date company information, the Global Company Database (GCD) provides a single golden source of all company information, powered and verified by the FundApps compliance community.



Business Intelligence Reporting

FundApps makes reporting simple. Gaining insight into historical disclosure records across global jurisdictions has never been easier - users are able to produce high-production value management reports at the click of a button.

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