

PRODUCTS

Shareholder Disclosures

FUNDS  AXIS

Proprietary and Confidential





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Overview

Funds-Axis Shareholder Disclosures provides automated monitoring of global shareholder disclosure rules across 80+ countries on a single platform.

This includes the monitoring of:

- \ Major Shareholdings
- \ Takeover Disclosures
- \ Short Selling
- \ Foreign Investment Rules
- \ Sensitive Sector Rules

Features

- \ Comprehensive rules engine
- \ Pre-configured package of disclosure rules
- \ Decomposition of indices and baskets
- \ Early warning thresholds
- \ Aggregation at multiple levels
- \ Single click report generation
- \ Full disclosure workflow

Product Summary

Flexible Deployment	Availability as a hosted or installed solution
Minimal Data Requirements	Minimal data required Existing data integrations with over 20 Administrators Full provision of all voting rights data (if required)
Extensive Rules Library	Pre-installed rules and reports
Transparency	Full data history Quick drill-down of aggregated holdings to individual position level
Support	Fully managed outsourced service
Security	Full maker-checker and audit trail

The User Experience



1. Users login and view their shareholder disclosures positions through our web-based dashboard.

2. Using our detailed disclosures reports, users can easily monitor position threshold breaches across multiple jurisdictions. Including new and historic disclosures.





3. For further validation, multiple reports are available allowing users to drill down into their positions and denominator data at different levels.

This includes aggregated holding reports of relevant stocks across all portfolios, including decomposition of derivatives and ETF holdings.



4. Once the user has validated all disclosures, a regulatory report can be generated.

Behind the Scenes

Setting up your Group Structure

Typically Shareholder Disclosure rules apply at (i) group level, (ii) delegated investment manager level, or (iii) controller of voting rights level.

Users can flexibly define their entire organisational structure. Each rule then operates based upon this, taking into account parents and subsidiaries as required.

Set-up of Disclosures Rules

The solution features pre-configured disclosures rules. New rules can be easily added by selecting:

- \ Disclosure thresholds
- \ Legal entity application – e.g. group, discretionary manager, legal entity etc.
- \ Relevant numerators and denominators (e.g. voting rights, issued capital)
- \ Forms to be populated

Centralised upload of industry wide data

Data provision for standard industry data, plus voting shares and issued capital data.

Full data transparency

- \ All uploaded data can be viewed and verified.
- \ All historic data can be extracted in easily customisable templates.

Managed Services

Funds-Axis managed services are delivered subject to detailed SLAs which are tailored to individual client requirements.

Funds-Axis managed services for Shareholder Disclosures typically include:

1. Data provision for standard industry data –


- \ Voting shares and issued capital data;
- \ Takeover Rule 8 stocks and NSI
- \ Prohibited short selling stocks
- \ EU exempt shares
- \ Sovereign debt thresholds
- \ Issuer Limits


2. Daily operational processes,


- \ Including upload and validation of issued capital, voting rights, and NSI;
- \ Validation of all Disclosures;
- \ Disclosures Report preparation and review


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