



Funds-Axis Shareholder Disclosures



Shareholder Disclosures Monitoring

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

80+ Countries



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Shareholder Disclosures Monitoring

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



Key Features

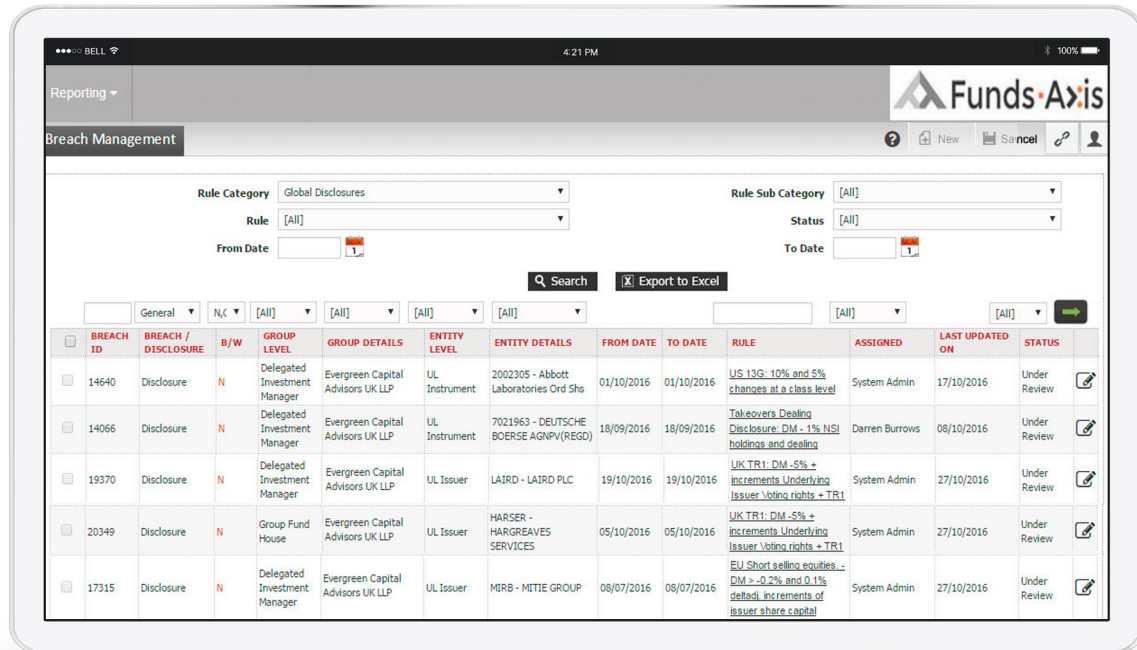
- Comprehensive rules engine
- Pre-configured package of disclosure rules
- Decomposition of indices and baskets
- Early warning thresholds
- Aggregation at multiple levels
- Single click report generation
- Full disclosure workflow

Product Summary

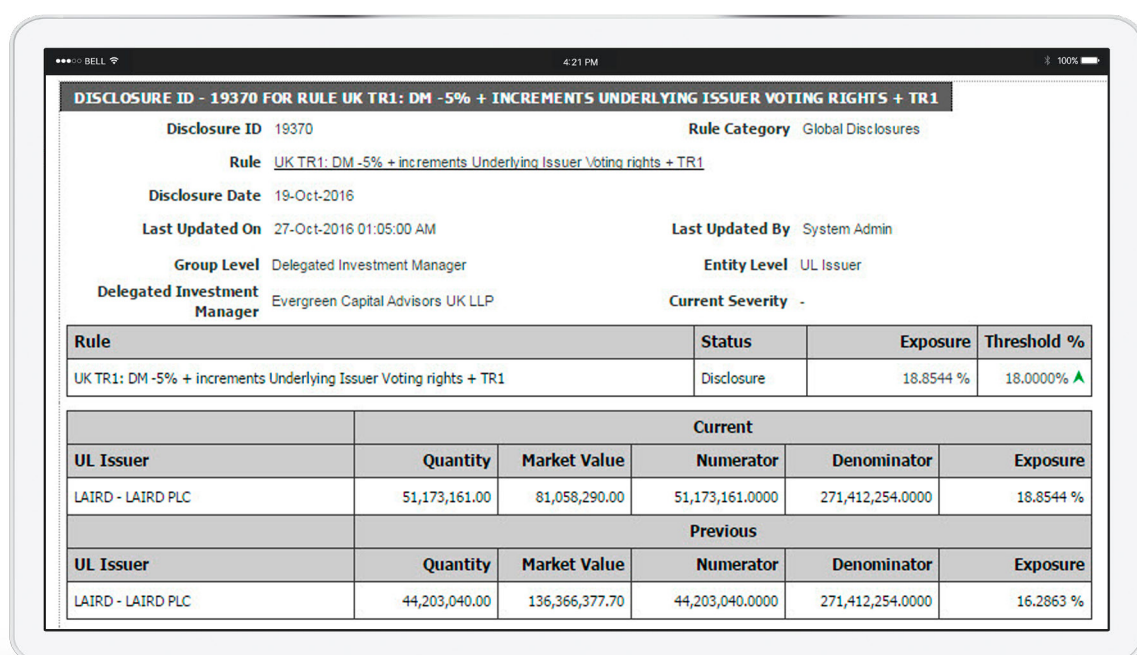
Flexible Deployment	Availability as a hosted or installed solution
Minimal Data Requirements	Minimal data is required. Simply provide sedol or isin + quantity Existing data integrations with over 20 Administrators Full provision of all voting rights data (if required)
Extensive Rules Library	Pre-installed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

2. The User Experience

(i) Disclosures are viewed in the Disclosure / Breach Management Framework.



(ii) Users can then click into Disclosures to see the details, including previous day positions.



(iii) To validate disclosures, run the Aggregated Holding Report.

Aggregated Holding Report

FILTERS FOR AGGREGATED HOLDING REPORT

Date: 27/10/2016

Aggregation Level: ☐ Fund House ☒ Delegated Manager ☐ Group Fund House

Fund House Structure: Filter... Evergreen Capital Advisors UK LLP

Consider Subsidiary: ☐ Yes ☒ No

Consider Parent: ☐ Yes ☒ No

Voting Rights: ☐ Yes ☒ No

Denominator: ☐ Yes ☒ No

Allow Decomposition: ☐ Yes ☒ No

Numerator: ☐ Inst ☒ UL

Report Type: ☐ Pbl ☒ Pvl

Issuer	Country of Registration	Quantity	Total share capital held	Share Capital	% of total share capital held	Voting rights shares held	Issuer Voting Rights	% Issuer Voting Rights	Delta adjust quantity
Kabel Deutschland Holding AG	Germany	147,904.00	147,904.00	88,522,939.00	0.1671%	147,904.00	88,522,939.00	0.1671%	147,904.00
Man SE	Germany	82,000.00	82,000.00	147,040,000.00	0.0558%	82,000.00	140,974,350.00	0.0582%	82,000.00
Kerry Group PLC	Ireland								
Nuveen Mortgage Opportunity Term Fund	United States Of America								
Cvent Inc	United States Of America								
Interxion Holding NV	United States Of America								
ALERE INC	United States Of America								

Aggregated Holding Break Up Report

Date :

Scheme	Security	Asset Type	Quantity	Share Capital	% of Share Capital	V
EOMF	KABEL DEUTSCHLAND HOLDING ORD (GER) CFD	Equity CFD	132,070.00	88,522,939.00	0.1492%	88,522
EOMF	Kabel Deutschland Holding Ord Shs	Ordinary Shares	15,834.00	88,522,939.00	0.0179%	88,522
Total			147,904.00		0.1671%	

This will show the aggregated holding of relevant stocks across all portfolios, including decomposition of derivatives and ETF holdings.

(iv) Once satisfied, users can click to generate the Regulatory Report.

TR-1 NOTIFICATION OF MAJOR INTEREST IN SHARESⁱ

1. Identity of the issuer or the underlying issuer of existing shares to which voting rights are attached:ⁱⁱ LAIRD PLC

6. Date on which issuer notified: 27/10/2016

7. Threshold(s) that is/are crossed or reached:^{vi, vii} 18.00%

8. Notified details:

A: Voting rights attached to shares^{viii, ix}

Class/type of shares if possible using the ISIN CODE	Situation previous to the triggering transaction		Resulting situation after the triggering transaction			
	Number of Shares	Number of Voting Rights	Number of shares Direct	Number of voting rights		% of voting rights ^x
				Direct ^{xi}	Indirect ^{xii}	
GB00B1VNST91	44,203,040.00	44,203,040.00		51,173,161.00		18.85

3. 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.

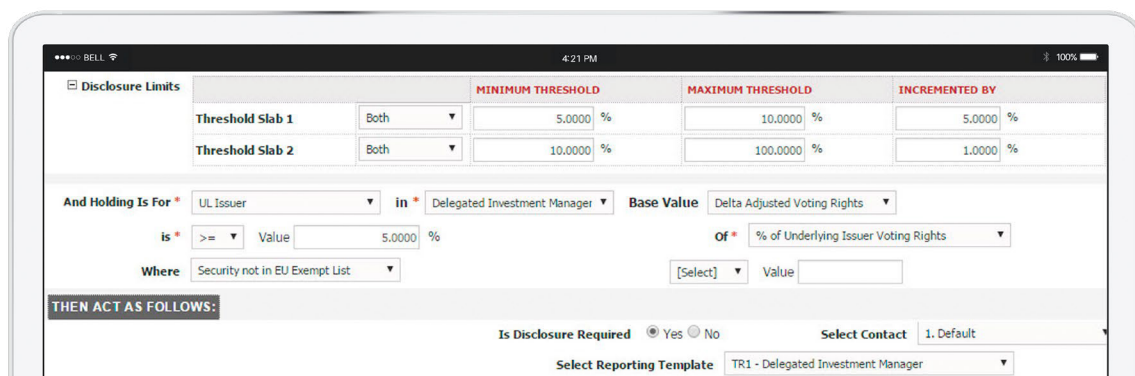


SET-UP OF DISCLOSURE RULES

The solution features pre-configured disclosure rules.

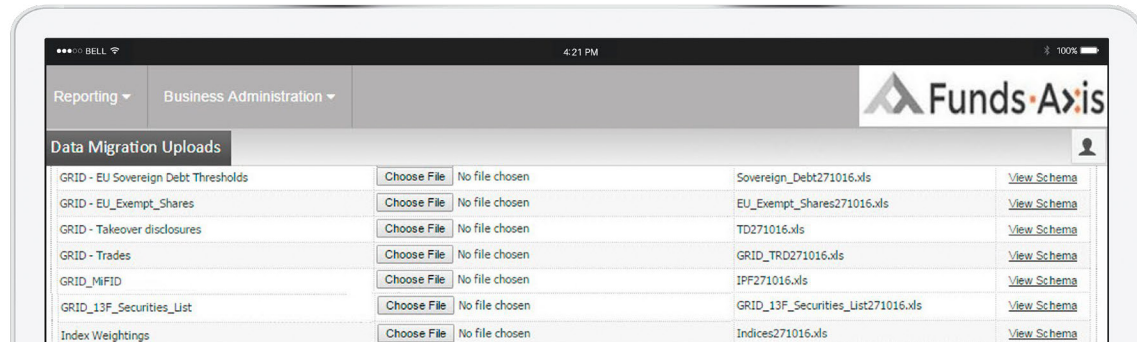
New rules can be easily added by selecting:

- 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



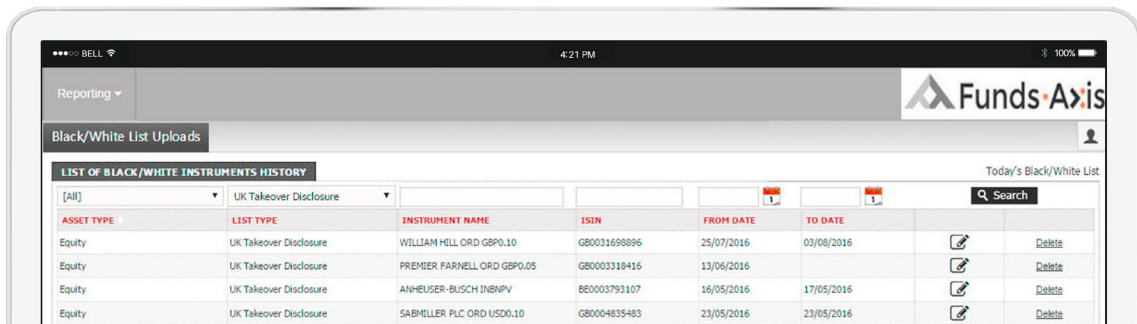
CENTRALISED UPLOAD OF INDUSTRY WIDE DATA

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

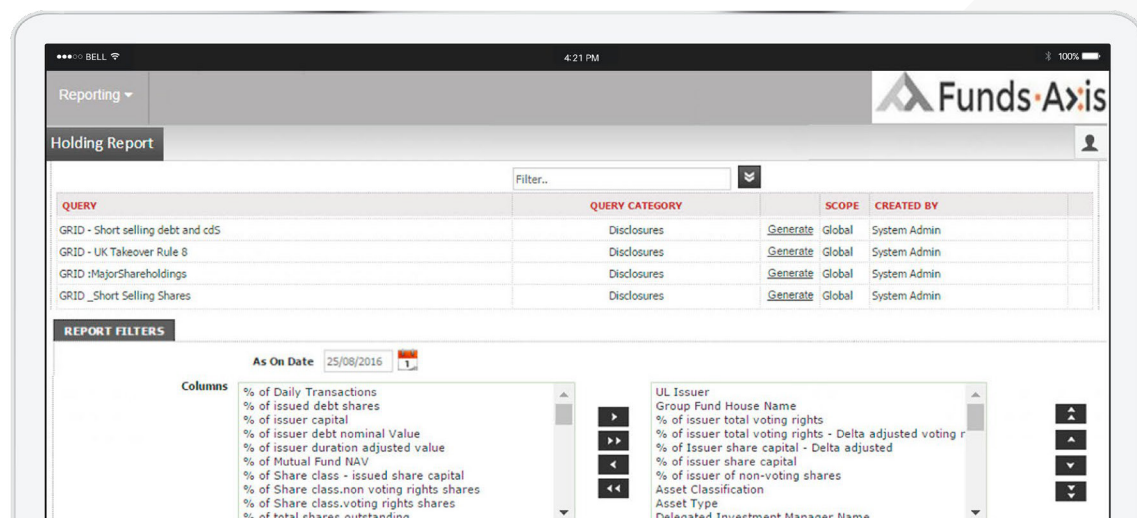


FULL DATA TRANSPARENCY

All uploaded data can be viewed and verified.



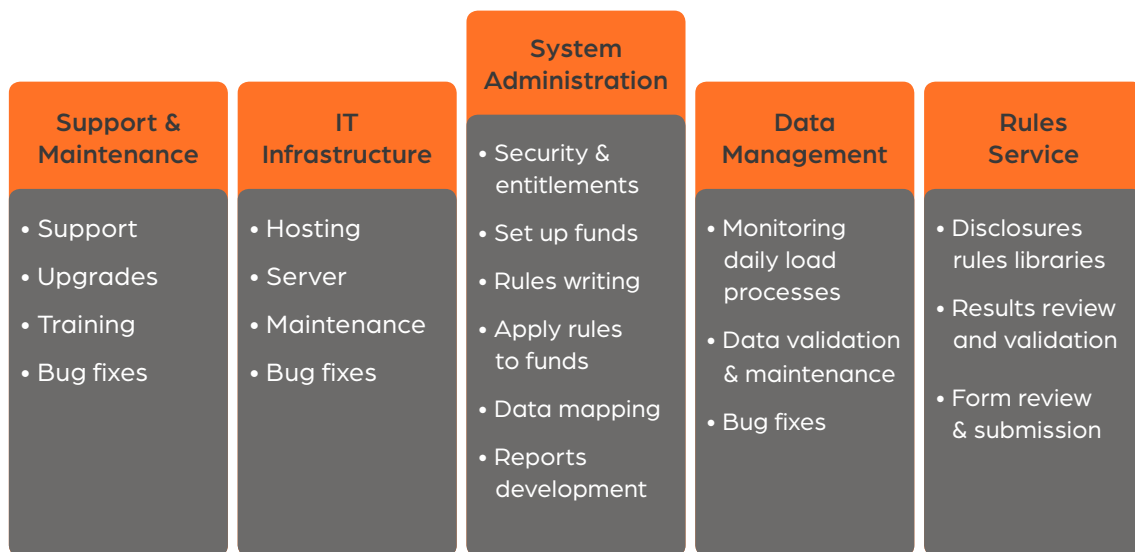
All historic data can be extracted in easily customisable templates.



4. Funds–Axis Managed Services

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

Funds–Axis Managed Services



Funds–Axis managed services for Shareholder Disclosures typically include:

1. Data provision for standard industry data – Takeover Rule 8 stocks, prohibited short selling stocks, EU exempt shares, sovereign debt thresholds, plus voting shares and issued capital data;
2. Daily operational processes, including upload and validation of issued capital, voting rights, and NSI;
3. Validation of all Disclosures;
4. Disclosure Report preparation and review; and
5. Rules maintenance.

All records are retained for client inspection and oversight purposes.



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