

Global Shareholder Disclosure Service

Foreign Ownership Jurisdiction Oversight for Charles River IMS

Foreign Ownership regulations present a challenge to many firms. Ever-changing regulations must be monitored, interpreted and implemented in a timely fashion, and following the disclosure process from trading through regulatory filing is time-consuming and resource-intensive. The Charles River Global Shareholder Disclosure Service (GSDS) helps clients manage shareholder compliance more confidently and more efficiently by providing rule advising, writing, maintenance and support, as well as regulation updates and notifications with legal information provided by aosphere LLP, an affiliate of leading multinational law firm Allen & Overy.

Key Benefits

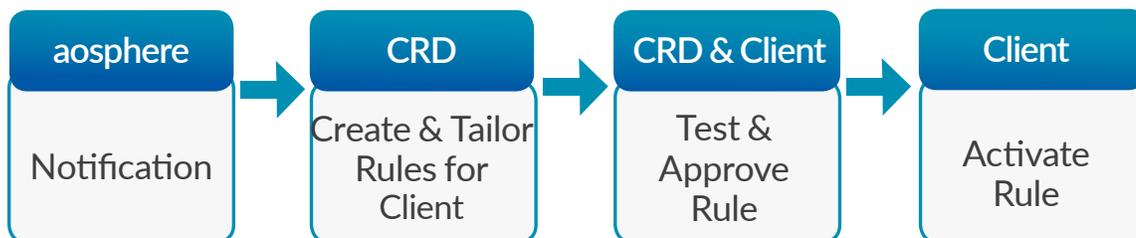
- Keep up with regulation changes
- Understand business impacts
- Streamline monitoring & filing processes
- Leverage Charles River expertise & aosphere legal information

Charles River GSDS takes a strategic approach to Foreign Ownership disclosure that fully leverages the industry-leading compliance capabilities of the Charles River Investment Management Solution (Charles River IMS). Charles River's deployment experience across a global client base gives our Compliance Services team a level of knowledge and depth of skills difficult to match and maintain with in-house staff alone. aosphere LLP provides Charles River with timely, detailed legal information, and monitors and issues notifications on changes to global shareholder disclosure legislation. Subscribers also become part of a network of firms monitoring Foreign Ownership and benefit from industry input and peer analysis.

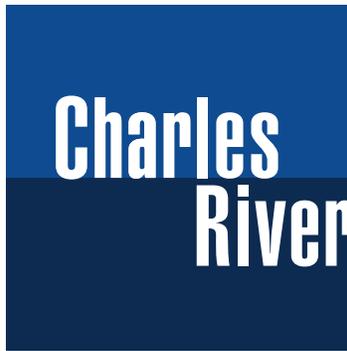
Charles River GSDS covers several types of Foreign Ownership rules for 85+ jurisdictions, including:

- Major shareholder disclosure
- Short disclosure
- Sensitive Industry
- Takeover panels
- Client-driven issuer limits

Charles River's compliance specialists work with the client to understand their data and interpretation, and then write, adapt and test the necessary rules within the subscriber's environment. Charles River also assists in configuring workflows and supports each client's entire Foreign Ownership library for licensed jurisdictions. Charles River ensures that rules remain up to date as regulations are added or changed.



Charles River works in consultation with clients to fulfill rule writing requests. Clients review and approve all rules prior to production.



A State Street Company

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Charles River Development, a State Street Company, enables sound and efficient investing across all asset classes. Investment firms in more than 40 countries use Charles River IMS to manage more than US\$25 Trillion in assets in the institutional investment, wealth management and hedge fund industries. Our Software as a Service-based solution (SaaS) is designed to automate and simplify investment management on a single platform – from portfolio management and risk analytics through trading and post-trade settlement, with integrated compliance and managed data throughout. Headquartered in Burlington, Massachusetts, we support clients globally with more than 750 employees in 11 regional offices.

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