

Global Shareholder Disclosure Service (GSDS)

Substantial Ownership Jurisdiction Oversight for Charles River IMS

Global Shareholder 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 in association with Allen & Overy.

Key Benefits

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

Charles River GSDS Foreign Ownership Rules

- ✓ Major Shareholder Disclosure
- ✓ Short Disclosure
- ✓ Sensitive Industry
- ✓ Takeover Panels
- ✓ Client-driven Issuer Limits



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



Aosphere:
Notification



Charles River:
Create & Tailor Rules for Client



Charles River & Client:
Test & Approve Rule



Client:
Activate Rule

Charles River's Approach

Charles River GSDS takes a strategic approach to substantial ownership monitoring 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 Substantial Ownership and benefit from industry input and peer analysis.

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 monitoring process for licensed jurisdictions. Charles River helps ensure that rules remain up to date as regulations are added or changed.



Discover the difference with Charles River. Schedule your demo today.

Charles River Development, A State Street Company

Investment and wealth managers, asset owners and insurers in ~30 countries rely on Charles River IMS to manage USD \$59 Trillion in assets. Together with State Street's middle and back office services, Charles River's cloud-based front office technology forms the foundation of State Street Alpha®.

Charles River IMS helps automate and simplify the investment process across asset classes, from portfolio management and risk analytics through trading and post-trade settlement, with integrated compliance and managed data throughout. Charles River for Private Markets helps solve complex data challenges for investors in private credit, real estate, private equity, and infrastructure. Charles River's partner ecosystem enables clients to access the data, analytics, application and liquidity providers that support their product and asset class mix. With more than 185% increase in headcount over the last 8 years, Charles River serves clients globally offering 24/7 support. To learn more visit www.crd.com.

**Statistics as of Q4 2025. Assets are inclusive of clients using the platform for purposes of secondary compliance.*

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