

Listed funds - What makes us the bright alternative?

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Experience always counts

There's no substitute for experience. You want to focus on managing your investments, while having the peace of mind in knowing the day-to-day operation of your fund is in safe hands. With over GBP 4 billion in listed funds market cap under our care across leading markets such as the LSE and the ISE, you can rest assured you're dealing with a partner that understands your industry.

A robust, yet efficient, approach to governance

You might be managing a fund, but you'll still have many of the same legal and regulatory requirements as any other business listed on a stock exchange. You'll need a partner that can work with you to not only build a robust governance framework, but also to ensure that framework allows decisions to be made and actions taken in the most efficient manner possible.

We recognise that efficiency in your world is critical. Whether it be making timely market announcements (such as being notified of transactions by major shareholders or persons discharging managerial responsibilities), or on-going filings with competent authorities (such as the FCA in the UK), a "next on the list" approach simply won't do. Everything has to be done in a particular fashion within a particular timeframe - that's how stock exchanges work, and that's how we work.

The right blend of expertise and technology

You need the right people in your team - administrators for whom day-to-day tasks such as regulatory filings and market announcements are second nature, and also company secretarial specialists who can navigate the complexities and challenges of listed vehicles. Our experience spans everything from the fulfillment of corporate governance obligations and assisting in implementing sound risk

governance frameworks, to filings, returns and registrations. Our experienced team, who are used to dealing with high profile boards, will ensure that the right image of the fund is conveyed to the market.

You also need a partner that embraces the latest technology. The regulatory and legal framework for listed companies remains as fluid as ever, and you're right to expect your service provider to employ market leading systems that can manage new requirements or obligations with minimum disruption and inconvenience.

As a business, we've always invested in technology that helps our clients manage the impact of industry developments, and listed vehicles are no exception. One example of this was our recent introduction of a new system to better manage the obligations arising from the introduction of the EU Market Abuse Regulations.

KYI - Knowing your investor

You also want a partner that takes the time to understand your investor base. We recognise that every investor is different, with their own expectations and internal requirements around governance. Whether your investor base comprises large institutional pension funds, banks or private clients, we'll help build a governance framework that is not only fit for purpose but is also tailored for you and your investors.

One size doesn't fit all

These are just a few insights into our experience of working with listed fund managers just like you. One size doesn't fit all—we know this. Every firm is different and every fund is different, but what we can do is combine our partnership-based approach with our extensive experience in working with listed fund managers to find a solution that's right for you.