

FULLY COVERED

PORTFOLIO MONITORING with **CLAIMS ADMINISTRATION**
and **LEGAL GUIDANCE**

KTMC 
PORTFOLIO ADVOCATE



PORTFOLIO ADVOCATE

ONE-STOP RESOURCE

means having **THE CONFIDENCE** that fiduciary responsibilities are fulfilled

Kessler Topaz is uniquely situated with the skill, resources, experience, and expertise to guide and assist institutional investors with the identification, evaluation and management of securities class and direct actions and claims anywhere in the world. Through our robust, integrated and comprehensive monitoring, claims filing and legal services, institutional investors have come to rely on Kessler Topaz's one-stop resource to fulfill all of their fiduciary obligations related to protecting shareholder recoveries.

PROVIDING
MONITORING AND
CLAIMS FILING
SERVICES TO
INSTITUTIONAL
INVESTORS
SINCE 2003

LEADERS IN
SHAREHOLDER
LITIGATION
THE LEGAL 500

ALL TOGETHER, BETTER



- Currently providing shareholder litigation monitoring services for over **300 institutional investors** from around the world with combined **assets under management exceeding \$3 trillion**.
- Filed over **20,000 claims** spread across more than 800 class action settlements, and has recovered **hundreds of millions of dollars**.
- Filed claims for our clients in **cases outside of the United States**, including in the Netherlands, Canada, Australia, and elsewhere.



PORTFOLIO MONITORING

RETURN ON INFORMATION

Kessler Topaz attorneys and staff work with our clients to identify, monitor, analyze, and investigate potential securities fraud, corporate mismanagement, and other fiduciary or shareholder claims.

Securities Tracker Makes it Easy

The *Securities Tracker* program includes:

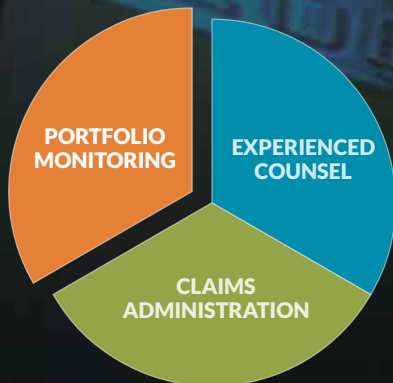
- Email alerts
- New case summaries and analyses
- Quarterly reports
- Claims filing and auditing
- Customized settlement charts

Up-to-Date Information

Securities Tracker works 24/7, 365 days a year. So even when you're at a conference, on an airplane or in another time zone, we protect your portfolio. Learn more and see a demo at www.securitiestracker.com

SAMPLE CLIENT REPORTS

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PORTFOLIO MONITORING

Customized Reports

Securities Tracker reports are based on your transactional history, which you provide to us. You'll receive only information that affects securities in your portfolio without wading through a lot of extraneous material.

Readily Accessible

Using *Securities Tracker*, you may keep information on cases and settlements in a central location where it may be retrieved on demand by multiple people in your organization. Your reports are provided online, and are fully viewable and downloadable on multiple platforms.

Private and Secure

The security of your transaction data is of paramount concern to us.

- The *Securities Tracker* site complies with an ISO 27002 based Information Security Policy. We provide an SFTP enabled FIPS 140-2 compliant server for our clients to transfer data securely to our Data Centers.
- All client transaction data is stored on private servers located in our secure Data Centers. Data is stored in an encrypted file system with user level access controls.
- Transaction data is regularly backed up and replicated to our secondary Data Center enabling us to continue business and prevent interruption of service during and after a disaster.
- We engage an outside security firm to audit access to our systems, conduct penetration testing, and educate us on the latest cyber threats.

“Kessler Topaz’s claims filing service is an added value to the strong litigation skills they are providing to our fund. They have helped us recover settlement dollars we might have otherwise missed...”

–Scott W. Jarvis, Retirement Administrator
Imperial County Employees Retirement System

SECURITIES TRACKER ONLINE PORTAL

A sample *Securities Tracker* client page may be viewed on the Portfolio Advocate website: www.securitiestracker.com (click on the blue “Log In” button on the bottom right-hand corner of the homepage; Username: ABCFundManagement Password: Asdf123456! then click on the blue “Log In” button). We are happy to provide an online tutorial upon request.





CLAIMS ADMINISTRATION

LESS MEANS MORE

"I have worked with Kessler Topaz for over a decade. In a crowded field of shareholder litigation firms, I have found their lawyers to be truly zealous and competent advocates for institutional investors and the classes they represent. I trust and value their diligent counsel."

– Robert L. Gaumer, General Counsel – Sacramento
County Employees' Retirement System

When a case in which you have a financial interest settles or otherwise resolves, we ensure that claims are properly filed and paid. We will complete and file all necessary proofs of claim, resolve any deficiencies with claims administrators, and ensure that you receive all payments to which you are entitled.

Fewer Hassles, More Recoveries

Our Claims Administration program enables clients to easily inventory the settled class actions impacting their portfolio and allows them to easily track how much money they have recovered from securities litigation.

Fiduciary Responsibilities Fulfilled

Our services provide clients with another tool to demonstrate that they are fulfilling their fiduciary duties and protecting their assets.

Electronic Payments Enabled

Kessler Topaz provides electronic payments for class action recoveries received, alleviating administrative burdens and costs associated with receiving paper checks.

**CURRENTLY FILING CLAIMS FOR
MORE THAN 150 INSTITUTIONAL
INVESTORS AROUND THE GLOBE**

**FILED MORE THAN 20,000 CLAIMS
ACROSS MORE THAN 800 CLASS
ACTION SETTLEMENTS**



EXPERIENCED COUNSEL

ADDING LEGAL VALUE

“We like the flexible and professional way Kessler Topaz has been working with us in different cases and their filing of settlement claims is invaluable.”

—Richard Gröttheim, CEO, AP7 –
Seventh Swedish National Pension Fund

Kessler Topaz is one of the world's foremost law firms in protecting investors against corporate fraud and other wrongdoing. Our lawyers regularly take on elite defense attorneys—and win—in class actions, direct actions, shareholder derivative suits, antitrust litigation, and other complex litigation around the globe. We are proud to have recovered billions of dollars for our clients.

Navigating Legal Complexity with Business Sense

As the laws and requirements for pursuing actions and claims in the United States and around the world continue to evolve, and as the number and magnitude of claims continue to increase, it is more important than ever for institutional investors to

demonstrate that they are capable of protecting and/or recovering investment assets. Kessler Topaz lawyers serve as effective and efficient guides amid legal complexity.

Understanding Your Legal Options

We work closely with our clients to consult on all aspects of serving as a lead or representative plaintiff as compared to remaining an absent class member, objecting to a proposed settlement, filing a direct/opt-out action, or filing a derivative action in state or federal court depending on the situation.

We look forward to the opportunity to develop a long term relationship that will significantly benefit you.

**LEADING
LITIGATION FIRM**
BENCHMARK LITIGATION

PLAINTIFFS' HOT LIST
NATIONAL LAW JOURNAL

**RECOGNIZED AS LEADERS
IN THE SHAREHOLDER
LITIGATION FIELD**
THE LEGAL 500

**HONOR ROLL OF MOST
FEARED LAW FIRMS**
BTI CONSULTING GROUP

**CLASS ACTION
LITIGATION
FIRM OF THE YEAR**
LEGAL INTELLIGENCER

**HONOR ROLL OF MOST
FEARED LAW FIRMS**
THE LEGAL 500

FULLY ENGAGED

MARKET MOVEMENTS partnered with **LEGAL STRATEGY**

CONTACT US

For more information on the services detailed here, or to schedule a Securities Tracker demonstration please contact Darren J. Check, Esquire a 610-822-2235 or dcheck@ktmc.com

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