

# FULLY COVERED

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

**KTMC**   
**SECURITIES TRACKER**





**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** for our clients.
- Filed claims for our clients in **cases outside of the United States**, including in the Netherlands, Canada, Australia, and elsewhere.
- Claims filing is provided for all shareholder actions, including Antitrust cases like LIBOR and F/X, at no extra cost.



**PORTFOLIO MONITORING**

# RETURN ON INFORMATION

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





# PRIVATE AND SECURE

Kessler Topaz is dedicated to providing secure uninterrupted service to our clients and has implemented numerous measures in order to ensure the safeguard of client transaction data.

**Highlights are as follows:**

- The *Securities Tracker* site complies with an ISO/IEC 27000-series based Information Security Framework. We provide an SFTP enabled FIPS 140-2 compliant server for our clients to transfer data securely. Our public PGP key is provided to clients to add an additional layer of encryption to transactional data.
- Kessler Topaz has recently received a clean SOC 2 Type I report by the auditing firm Kirkpatrick Price. The audit report is available upon request.
- In-house IT department consisting of seven employees and led by Andrew Wells, who alone has over 20 years of experience in the field.
- Kessler Topaz follows industry standards to protect both the physical security of our systems, and network access to client transaction data. All client transaction data is hosted in our Azure environment and is encrypted both in transit and at rest, with user level access controls in place.
- We have designed a cutting edge BI environment secured on Microsoft Azure. SQL provides the backend databases and the front end application is powered by Qlik software solutions and Microsoft Power Apps.
- All client transaction data is logically separated from all other clients and is only accessible by our 20-member, internal Portfolio Monitoring & Claims Filing Department.
- Kessler Topaz regularly updates procedures and tests our ability to maintain services during and after disasters in order to minimize any impact on our clients. Transactional data is regularly backed up and all servers and data are replicated from Microsoft's US-East location to Microsoft's US-West location using Microsoft Azure Site Recovery service.
- We partner with an outside security firm, Layer 8 Security, to ensure all our standards are met. Layer 8 enhances our internal efforts with numerous services: **Security Configuration Benchmarking, Semi-Annual Internal Vulnerability Assessment, Monthly External Vulnerability Assessment, SOC 2 Control Monitoring, SIEM (Security information and event management), Phishing Simulation Testing, Annual Information Security Awareness Training, and Consulting.**





“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](http://www.securitiestracker.com) (click on the orange “Log In” button on the top 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 FILING

# LESS MEANS MORE

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“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

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When a case in which you have a financial interest settles or otherwise resolves, Kessler Topaz ensures 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 Filing 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**

We provide electronic payments for class action recoveries received, alleviating administrative burdens and costs associated with receiving paper checks. Complete fund by fund recovery reports are provided.

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**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 actions, 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 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 whether to serve as a lead or representative plaintiff or remain 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.

### Flexibility

Utilizing *Securities Tracker* does not obligate investors to participate in any litigation. If a client chooses to pursue an action they are also not obligated to use Kessler Topaz as counsel. 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 at 610-822-2235 or [dcheck@ktmc.com](mailto:dcheck@ktmc.com)

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280 King of Prussia Road  
Radnor, PA 19087  
P 610.667.7706  
F 610.667.7056

One Sansome Street  
Suite 1850  
San Francisco, CA 94104  
P 415.400.3000  
F 415.400.3001

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