



Fund Holdings Transparency

Gain visibility and prevent risk in concentrated fund trading.

Monitoring employee trading in funds presents a unique challenge for compliance teams. Without visibility into fund holdings, firms rely on manual processes and employee disclosure to identify concentrated or single-stock risks. Fund Holdings Transparency provides direct insight into fund holdings and enables firms to apply concentration-based rules across pre-clearance and surveillance workflows. The result is improved oversight, reduced risk, and more efficient compliance operations.

Why Choose Star?

-  **Prevent high-risk fund trading**
Identify and control trading in single-stock and highly concentrated funds using firm-defined thresholds.
-  **Increase transparency and oversight**
Gain clear visibility into fund holdings, including top-10 holdings and total holdings, to better understand underlying exposure and enforce policy.
-  **Eliminate manual processes**
Replace spreadsheets and manual fund lists with automated, data-driven controls embedded directly into compliance workflows.

Core Features That Drive Results

- Automated concentration-based controls**
Fund Holdings Transparency enables compliance teams to define and enforce concentration thresholds based on firm policy. Whether identifying single-stock ETFs or funds with high exposure to a small number of holdings, the solution automatically applies rules during both pre-clearance and surveillance. This ensures consistent enforcement and reduces reliance on employee disclosure.
- Visibility into fund holdings**
Compliance teams gain access to detailed holdings data across a broad universe of ~100,000 global funds, including total holdings count and top holdings. This transparency allows firms to better assess underlying risk and identify funds that may appear diversified but carry concentrated exposure.
- Integrated pre-clearance and surveillance workflows**
The solution embeds fund-level checks directly into existing compliance processes. Firms can prevent trades at the point of pre-clearance or monitor activity post-trade, ensuring comprehensive oversight regardless of workflow preferences. This flexibility allows firms to align controls with their existing compliance framework.
- Scalable, data-driven compliance**
Rather than maintaining spreadsheets or static lists of high-risk funds, compliance teams can rely on automated identification based on holdings data. This reduces operational burden, improves accuracy, and ensures that new or previously unidentified funds are consistently evaluated.



About StarCompliance

StarCompliance is a leading provider of employee and firm compliance technology solutions. Trusted for over 25 years by millions of users in 120 countries, the StarCompliance Enterprise Platform provides a user-friendly interface that connects people, workflows, and data, delivering the technology and actionable insights needed to mitigate risk and monitor conflicts globally proactively. Visit StarCompliance to discover the comprehensive security and unparalleled assurance you need to build a connected culture of compliance today.

Enhancing Visibility and Control

Fund Holdings Transparency brings clarity to one of the most opaque areas of employee trading compliance. By providing transparency and visibility into fund holdings and enabling automated enforcement of firm-defined rules, it helps organizations proactively reduce risk, improve oversight, and eliminate manual inefficiencies. The result is a more consistent and scalable approach to managing fund-related compliance obligations.



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