



Transaction Services

Timely institutional holdings, value-added aftermarket IPO services, and insight into institutional buying/ selling activity

Our institutional transaction reports provide the information you need to advise issuers of IPO activity and assist in pricing blocks and accelerated offerings.

IPO Institutional Tracking

- Complete investment style and turnover information on each shareholder
- 4-5 business days for initial shareholder list request
- Access to Ipreo industry analysts
- 3 months of weekly delivery of top institutional buyers and sellers along with the largest shareholders

| XYZ Company | | IPO Tracking | | | | | | | | | | | | IHS Markit | | | |
|-------------|--|--------------------|----------|---------------------|-----------|---------------------|----------|---------------------|-----------|---------------------|---------|---------------------|---------|------------|----------------------|---------------|-----------|
| Rank | Holder Name | 6/4/18 Position | Change | 5/27/18 Position | Change | 5/20/18 Position | Change | 5/13/18 Position | Change | 5/06/18 Position | Change | 4/23/18 Position | Change | Allocation | Equity Assets (\$MM) | Invest. Style | Turnover |
| 1 | Federated Investors, Inc. (Asset Management) | 2,900,000 | 185,000 | 2,715,000 | 0 | 2,715,000 | 0 | 2,715,000 | 1,465,000 | 1,250,000 | 250,000 | 1,000,000 | 0 | 1,000,000 | \$31,543 | Growth | Medium |
| 2 | Wellington Management Co. LLP | 1,800,000 | 50,000 | 1,750,000 | 350,000 | 1,400,000 | 100,000 | 1,300,000 | 300,000 | 1,000,000 | 200,000 | 800,000 | 0 | 800,000 | \$344,169 | Growth | Low |
| 3 | Capital Research & Management | 1,504,100 | -59,900 | 1,564,000 | 0 | 1,564,000 | -81,000 | 1,645,000 | 0 | 1,645,000 | 29,000 | 1,615,200 | 115,200 | 1,500,000 | \$159,696 | Growth | Low |
| 4 | Waddell & Reed | 1,315,000 | 0 | 1,315,000 | 75,000 | 1,240,000 | 240,000 | 1,000,000 | 250,000 | 750,000 | 250,000 | 500,000 | 230,000 | 270,000 | \$45,552 | Growth | Medium |
| 5 | Janus Capital Management, LLC | 1,300,000 | 0 | 1,300,000 | 0 | 1,300,000 | 0 | 1,300,000 | 50,000 | 1,250,000 | 750,000 | 500,000 | 0 | 500,000 | \$73,099 | Growth | High |
| 6 | Fidelity Management & Research | 1,250,000 | -250,000 | 1,500,000 | -250,000 | 1,750,000 | -250,000 | 2,000,000 | -500,000 | 2,500,000 | 0 | 2,500,000 | 0 | 2,500,000 | \$2,091 | Value | Medium |
| 7 | American Century Investment Management, Inc. | 1,100,000 | 0 | 1,100,000 | 100,000 | 1,000,000 | 0 | 1,000,000 | 0 | 1,000,000 | 500,000 | 500,000 | 0 | 500,000 | \$58,136 | GARP | Low |
| 8 | Fries Associates, LLC | 1,000,000 | 0 | 1,000,000 | 1,000,000 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | \$8,903 | Alternative | Very High |
| 9 | Balyasny Asset Management, L.P. (U.S.) | 1,000,000 | 0 | 1,000,000 | 0 | 1,000,000 | 200,000 | 800,000 | 0 | 800,000 | 50,000 | 750,000 | 150,000 | 600,000 | \$1,697 | Alternative | High |
| 10 | T. Rowe Price Associates, Inc. | 900,000 | 0 | 900,000 | 0 | 900,000 | 0 | 900,000 | 0 | 900,000 | 0 | 900,000 | 0 | 900,000 | \$216,214 | Growth | Low |
| 11 | Goldman Sachs Asset Management, L.P. (U.S.) | 715,200 | 0 | 715,200 | 39,200 | 676,000 | 0 | 676,000 | 126,000 | 550,000 | 0 | 550,000 | 0 | 550,000 | \$86,554 | GARP | Medium |
| 12 | Citadel Investment Group LLC | 660,940 | 0 | 660,940 | 0 | 660,940 | 0 | 660,940 | 660,940 | 260,940 | 400,000 | 0 | 400,000 | \$20,156 | Growth | High | |
| 13 | J.P. Morgan Investment Management, Inc. | 650,000 | 0 | 650,000 | 0 | 650,000 | 0 | 650,000 | 0 | 650,000 | 0 | 650,000 | 0 | 650,000 | \$1,596 | Growth | High |
| 14 | Putnam Investment Management, LLC | 514,200 | 0 | 514,200 | -102,223 | 616,423 | 0 | 616,423 | 358,566 | 974,989 | 374,989 | 600,000 | 250,000 | 350,000 | \$115,815 | Value | Medium |
| 15 | Jenison Associates, LLC | 400,000 | 100,000 | 300,000 | 0 | 300,000 | 150,000 | 150,000 | 30,000 | 120,000 | 120,000 | 0 | 0 | 0 | \$60,629 | Growth | Medium |
| 16 | Union Investment Privatfonds GmbH | 320,000 | 0 | 320,000 | 0 | 320,000 | 5,000 | 315,000 | 15,000 | 300,000 | 0 | 300,000 | 0 | 300,000 | \$40,740 | GARP | Medium |
| 17 | Capital World Investors (U.S.) | 300,000 | -50,000 | 350,000 | 0 | 350,000 | 0 | 350,000 | 0 | 350,000 | 0 | 350,000 | 0 | 350,000 | \$200 | Growth | High |
| 18 | Columbia Management Investment Advisers, LLC | 289,000 | 39,000 | 250,000 | 0 | 250,000 | 5,000 | 245,000 | 25,000 | 220,000 | 20,000 | 200,000 | 0 | 200,000 | \$10,541 | Growth | N/A |
| 19 | Brown Capital Management, Inc. | 250,000 | 0 | 250,000 | 0 | 250,000 | 0 | 250,000 | 0 | 250,000 | 0 | 250,000 | 0 | 250,000 | \$2,666 | Growth | Low |
| 20 | Chartwell Investment Management | 215,000 | 0 | 215,000 | 0 | 215,000 | 0 | 215,000 | -185,000 | 400,000 | 0 | 400,000 | 0 | 400,000 | \$35,225 | Growth | High |
| 21 | AllianceBernstein, L.P. (U.S.) | 205,000 | 0 | 205,000 | 0 | 205,000 | 3,500 | 201,500 | 3,100 | 198,000 | 23,000 | 175,000 | 0 | 175,000 | \$6,074 | Growth | High |
| 22 | Loomis Sayles & Company, L.P. | 200,000 | 0 | 200,000 | ##### | 1,500,000 | 0 | 1,500,000 | 0 | 1,500,000 | 250,000 | 1,250,000 | 350,000 | 900,000 | \$16,730 | Aggr. | Medium |
| 23 | OppenheimerFunds, Inc. | 145,322 | 0 | 145,322 | 0 | 145,322 | 0 | 145,322 | 45,322 | 100,000 | 0 | 100,000 | 0 | 100,000 | \$371,824 | GARP | Low |
| 24 | OrbiMed Advisors | 125,000 | 0 | 125,000 | 0 | 125,000 | -275,000 | 400,000 | 0 | 400,000 | 25,000 | 375,000 | 225,000 | 150,000 | \$940 | Aggr. | Low |
| 25 | The Vanguard Group, Inc. | 115,000 | 25,000 | 90,000 | 0 | 90,000 | 7,500 | 82,500 | 870 | 81,640 | 4,040 | 77,600 | 77,100 | 0 | \$544,178 | Index | Low |
| 26 | OppenheimerFunds, Inc. | 45,000 | 0 | 45,000 | -53,600 | 98,600 | 0 | 98,600 | -1,400 | 100,000 | 0 | 100,000 | 0 | 100,000 | \$134,176 | Growth | Medium |
| 27 | D.E. Shaw & Company, Inc. | 0 | 0 | 0 | 0 | 0 | 0 | 0 | -750,000 | 750,000 | -30,000 | 780,000 | ##### | 1,000,000 | \$30,125 | Alternative | High |
| 28 | Point72 Asset Management, L.P. | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | ##### | 500,000 | \$6,492 | Alternative | High |
| 29 | Millennium Partners | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | ##### | 500,000 | \$10,255 | Growth | High |
| 30 | Landsdowne Partners (UK) LLP | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | ##### | 300,000 | \$17 | Alternative | Medium |

Global Markets Intelligence Group

