

22 September 2023

Exemptions from the major shareholding notification obligation granted by FIN-FSA

The table below lists the companies that have been granted exemptions from the major shareholding notification obligation under chapter 9, section 8 c of the Securities Markets Act (746/2012, SMA) and earlier provisions. The exemptions apply to parent companies of fund management companies, collective investment undertakings and investment firms authorised in a country outside the European Economic Area. Such parent companies do not qualify for a notification procedure under chapter 9, section 8 a of the SMA. However, the FIN-FSA may grant an exemption from the notification obligation under such circumstances, provided that the exemption criteria under the SMA are met.

Parent Company	Fund management company, collective investment undertaking or securities intermediary	Date of decision	Journal number
Amundi Asset Management S.A.	Pioneer Institutional Asset Management Inc. Pioneer Investment Management Inc.	16.8.2017	FIVA 8/02.05.11/2017
Amundi S.A.	Pioneer Institutional Asset Management Inc. Pioneer Investment Management Inc.	16.8.2017	FIVA 8/02.05.11/2017
CB Holdco, Inc	CBRE Clarion Securities LLC	18.1.2012	FIVA 6/02.05.11/2011
CB/TCC, LLC	CBRE Clarion Securities LLC	18.1.2012	FIVA 6/02.05.11/2011
CBRE Clarion CRA Holdings, Inc	CBRE Clarion Securities LLC	18.1.2012	FIVA 6/02.05.11/2011
CBRE Clarion REI Holding, Inc.	CBRE Clarion Securities LLC	18.1.2012	FIVA 6/02.05.11/2011
CBRE Clarion Securities Holdings, LLC	CBRE Clarion Securities LLC	18.1.2012	FIVA 6/02.05.11/2011
CBRE GROUP, INC	CBRE Clarion Securities LLC	18.1.2012	FIVA 6/02.05.11/2011
CBRE Services, Inc	CBRE Clarion Securities LLC	18.1.2012	FIVA 6/02.05.11/2011
CBRE, Inc.	CBRE Clarion Securities LLC	18.1.2012	FIVA 6/02.05.11/2011
Crédit Agricole S.A.	Amundi Smith Breeden, LLC Pioneer Institutional Asset Management Inc. Pioneer Investment Management Inc.	18.8.2017	FIVA 11/02.05.11/2017

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Franklin Resources, Inc.	Franklin Advisers, Inc. Franklin Templeton Portfolio Advisors, Inc. Franklin Mutual Advisers, LLC Templeton Investment Counsel, LLC Franklin Templeton Investments Corp. Fiduciary Investment Management International, Inc. Franklin Templeton Investments (Asia) Limited Templeton Global Advisors Limited Franklin Templeton Institutional, LLC Franklin Advisory Services, LLC Edinburgh Partners North America, Inc. Brandywine Global Investment Management, LLC ClearBridge Investments, LLC Clarion Partners, LLC Financial Guard, LLC Legg Mason Partners Fund Advisor, LLC Legg Mason Private Portfolio Group, LLC Martin Currie Inc. QS Batterymarch Financial Management, Inc. QS Investors, LLC ClearBridge RARE Infrastructure (North America) Pty Ltd Royce & Associates, LP DBA Royce Investment Partners Western Asset Management Company LLC	16.2.2021	FIVA 5/02.05.11/2020
Guggenheim Capital, LLC	Guggenheim Global Trading, LLC	8.4.2013	FIVA 1/02.05.11/2013
Guggenheim Manager Holdco, LLC	Guggenheim Global Trading, LLC	8.4.2013	FIVA 1/02.05.11/2013
Guggenheim Manager, Inc.	Guggenheim Global Trading, LLC	8.4.2013	FIVA 1/02.05.11/2013
Guggenheim Partners, LLC	Guggenheim Global Trading, LLC	8.4.2013	FIVA 1/02.05.11/2013

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Parent Company	Fund management company, collective investment undertaking or securities intermediary	Date of decision	Journal number
Madison Dearborn Partners LLC	Nuveen Investment Advisers Inc. Nuveen Asset Management Nuveen Investment Solutions, Inc. NWQ Investment Management Company, LLC Tradewinds Global Investors LLC Santa Barbara Asset Management, LLC Symphony Asset Management, LLC Nuveen HydePark Group, LLC Rittenhouse Asset Management, Inc.	23.12.2008	13/230/2008
Madison Dearborn Partners V-A&C L.P.	Nuveen Investment Advisers Inc. Nuveen Asset Management Nuveen Investment Solutions, Inc. NWQ Investment Management Company, LLC Tradewinds Global Investors LLC Santa Barbara Asset Management, LLC Symphony Asset Management, LLC Nuveen HydePark Group, LLC Rittenhouse Asset Management, Inc.	23.12.2008	13/230/2008
Nicholas-Applegate Holdings LLC (U.S.)	Nicholas –Applegate Capital Management LLC (U.S.)	8.12.2008	8/230/2008
Nuveen Investment Solutions, Inc.	Nuveen HydePark Group, LLC	23.12.2008	13/230/2008
Nuveen Investments, Inc.	Nuveen Investment Advisers Inc. Nuveen Asset Management Nuveen Investment Solutions, Inc. NWQ Investment Management Company, LLC Tradewinds Global Investors LLC Santa Barbara Asset Management, LLC Symphony Asset Management, LLC Nuveen HydePark Group, LLC Rittenhouse Asset Management, Inc.	23.12.2008	13/230/2008

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NWQ Holdings, LLC	NWQ Investment Management Company, LLC Tradewinds Global Investors LLC	23.12.2008	13/230/2008
RCM US Holdings LLC (U.S.)	RCM Capital Management LLC (U.S.)	8.12.2008	9/230/2008
The Capital Group Companies, Inc.	Capital Research and Management Company Capital Research Global Investors Capital World Investors	12.9.2007	13/230/2007
Windy City Investments Holdings, LLC	Nuveen Investment Advisers Inc. Nuveen Asset Management Nuveen Investment Solutions, Inc. NWQ Investment Management Company, LLC Tradewinds Global Investors LLC Santa Barbara Asset Management, LLC Symphony Asset Management, LLC Nuveen HydePark Group, LLC Rittenhouse Asset Management, Inc.	23.12.2008	13/230/2008
Windy City Investments, Inc.	Nuveen Investment Advisers Inc. Nuveen Asset Management Nuveen Investment Solutions, Inc. NWQ Investment Management Company, LLC Tradewinds Global Investors LLC Santa Barbara Asset Management, LLC Symphony Asset Management, LLC Nuveen HydePark Group, LLC Rittenhouse Asset Management, Inc.	23.12.2008	13/230/2008