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**goal**

Reclaims, Recoveries, Results

Withholding tax  
**reclaims**, securities  
class actions **recoveries**,  
outstanding **results**

[goalgroup.com](http://goalgroup.com)

# About Goal

Goal is the global leader in withholding tax reclaims and securities class actions recoveries.

## Who we are:

Established in 1989, we have become the preferred Fintech partner to some of the most prominent financial institutions and investment firms, globally. We also work with many other clients including asset managers, pension funds, hedge funds, investment banks, private banks, prime brokers and high net-worth individuals, to name a few.

It is our leading-edge technology, excellent client service and compelling, flexible pricing combined with our unparalleled industry knowledge and proficiency, that enable us to achieve outstanding results for our clients worldwide.

Our proprietary applications provide the highest levels of data security, transparency and reporting capabilities.

Goal is the only service provider that can offer both insourcing and outsourcing solutions. We are extremely proud of the technology we have developed and the time and money we have invested to ensure our applications not only provide advanced levels of automation but are also simple to use and effective. We also provide global market coverage, dedicated regional client services support and global research capabilities.

We are delighted to have been one of the first companies to achieve the new ISO/IEC 27001:2013 certification.

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“Failing to reclaim withholding tax on foreign portfolio holdings results in investors forfeiting over **15 billion USD**, annually, this equates to just over **20%** being left on the table. Annually, Goal processes reclaims for over **3 billion** shares on behalf of over **1 million** underlying beneficiaries”



# Withholding Tax Reclaims

Goal has developed leading-edge cloud-based technology to facilitate the process of reclaiming withholding tax on cross border securities.

Providing global market coverage, our application not only calculates the correct amount eligible for reclaim, but also selects and populates the correct forms depending on the entity domicile, entity type and market of reclaim. In addition, our dedicated global research department ensures that all rates and treaties are maintained.

Whether you are looking for a secure and efficient outsourced service or a platform to facilitate and automate withholding tax reclaims; Goal has the perfect solution for you.



## Global Tax Reclamation Solution (GTRS™)

GTRS™ is our flagship product. Developed in-house and initially launched in 1993, it has recently undergone a huge transformation to an innovative and seamless cloud-based application.

Our technology has been developed to ingest client data and based on event information, entity type, domicile and reclaim market; calculate the correct reclaimable rate as well as selecting, populating, and printing the applicable forms. In addition to these core elements, we have built reporting and tracking into the tool and as it is completely hosted on AWS, it also maintains the highest level of data security, segregating client information and ensuring we uphold our esteemed ISO27001 accreditation.

GTRS™ also benefits from a dedicated internal research department who continually monitor and update treaty rates and forms in addition to ongoing support through local, dedicated client service representatives.

Available as a subscription-based application or an outsourced service, GTRS™ enables the global investment community to process high volumes, efficiently and accurately while removing the complex, manual, inherently risky way in which this process is normally performed.



## Treaty Rate Manager (TRM™)

TRM™ is an online withholding tax reference database providing cost-effective access to the latest treaty rate information, worldwide. Available as a subscription-based service and loaded with information, combining a variety of sources in one place; it includes all statutes of limitations and a simple-to-use tool to quickly determine the applicable treaty rate for a client by selecting their market of investment, domicile, entity type and security type.

TRM™ provides an invaluable additional reference for fund managers, custodians, corporate actions systems vendors, research firms, the securities finance sector and others within the world of cross-border tax reclaims as well as those involved in portfolio planning. Both Goal and our worldwide client base, use this tool and the data within to feed up-to-date treaty rates into GTRS™, which in turn facilitates the processing of withholding tax reclaims accurately and expeditiously.



## ADRoit™

Goal is a trusted partner of all 4 depository banks offering withholding tax relief services relating to certain depository shares, registry shares, and other similar securities for which the depository acts as issuer and/or paying agent.

We collaborate with all stakeholders including custodians, issuers, tax authorities, the Depository Trust & Clearing Corporation (DTCC), transfer agents, registered shareholders, and participants to ensure correct and efficient withholding tax relief through relief at source, quick refund and long form reclaims, using our award-winning application, ADRoit™.

Goal provides support during every step of the journey, from the creation of important notices, tax documentation generation and validation services, claim reconciliation, support with foreign tax authority audits, OFAC compliance support, payment and FX services.

We are also partnered with global transfer agents who utilize the same tax relief services on repatriated ordinary shares.

# Securities Class Actions Recoveries



## Securities Class Actions Recoveries

Our securities class actions recoveries service offers another safe and secure solution to help maximize shareholder returns, providing recovery of compensation for the financial loss from owning shares in a company where there has been mismanagement or unlawful behavior.

Goal provides a seamless, stress-free, end-to-end management of the entire claim process; from case analysis, alert management, scanning and ingesting data, to submitting, tracking, and reconciling. In addition, our dedicated global research department ensure that not only are we able to cover all markets where recoveries are available but also monitor new markets, where similar redress mechanisms are being considered; therefore, ensuring we are always ahead of the game.



## Accelerator™

Accelerator™ is our powerful, cloud-based engine used for our securities class action recoveries service. We have developed this highly-automated, scalable application to eliminate manual processes, thereby reducing operational risk which benefits both our clients and ourselves and creates virtual straight-through processing from the capture and scanning of client data through to the completion of the claim.

Goal maintains the background information relating to the cases, allowing transactional data to be scanned, opportunities to be identified and recognized losses to be calculated, which in turn facilitate filing and subsequent payment of monies owed. Our application also contains in-built tracking and reporting, enabling us and our clients to follow the claim every step of the way.

We know that there is often a lot of information to digest concerning each individual case, from a variety of different sources, therefore we can also provide high-level executive overviews of cases to summarize key points and provide a concise synopsis; allowing you to make more informed decisions.



“Annually, we process around **20,000** claims for circa **1,500** cases, resulting in recovering over **half a billion dollars** on behalf of our clients.”



# Additional Services



## Data Analysis

There are a variety of reasons you may want your data to be analyzed. Perhaps you are not aware of the opportunities available, not sure if you or your underlying clients would be eligible or unsure that your current service provider is delivering the optimum level of excellence. Whatever the reason, Goal is able to take advantage of our automated technologies to assess opportunities, estimate values and review data, free of charge. Contact us to arrange a proof of concept.



## Client Portal

Whichever service you choose, if you outsource the work to us, we will provide you with a dedicated client portal. This will allow you to review activity, claim tracking and key reporting capabilities. For those with underlying clients, not only are we able to segregate access to provide a master account but also provide individual underlying client access, depending on your needs. The same information will be available on our application dashboards, should you choose to insource the work.



## Claims Monetization

Goal can help by turning those monies rightfully owed, into immediate revenue whether this be to reinvest or for funds that are in the process of winding down or liquidating. We will assess client data on a case-by-case basis and offer a competitive price to assume ownership on any outstanding and future claims. Not only will this eliminate the burden of performing these claims yourselves in the future and having to wait for the payment, it also involves minimal effort on your part, with substantial return.



## Traffic Light Concept

Outside of standard class action cases, from time to time more complex cases need to be considered which can be time consuming, resource hungry and potentially costly. Goal can provide a recommendation, graded as a traffic light; and based on our expertise and experience. This can be determined through the comparison between executive summaries and pre-agreed key criteria.

“Providing global coverage and having established excellent relationships with every part of the journey, we are immensely proud to promote our highly automated applications.”



# Our Awards

Goal is proud to have won many awards for both withholding tax reclaims and securities class actions recoveries over the years.



Shortlisted as a finalist for the 'Best Cloud Project' category in Computing's Cloud Excellence Awards 2020, recognizing the success of our ambitious digital transformation.



The AST Industry Excellence Awards 2021 are dedicated to supporting and recognizing talented and dedicated firms, individuals and departments. Goal was the proud winner of 'Outstanding Innovation'.



Established as Europe's most prestigious IT Channel Awards, the European IT & Software Excellence Awards brought together leading IT specialists from across Europe where Goal & BJSS won 'Innovative Crisis Management'.



Goal was named 'Best Tax Reclamation Services Firm' in Corporate America Today's Annual Awards 2021.

## Gamechangers 2021 GLOBAL AWARDS

INTERNATIONAL - CLASS ACTIONS RECOVERY FIRM OF THE YEAR, GOAL GROUP OF COMPANIES

INTERNATIONAL - INSPIRATIONAL LEADER OF THE YEAR STEPHEN EVERARD, GOAL GROUP OF COMPANIES

INTERNATIONAL - TAX RECLAMATION SERVICES FIRM OF THE YEAR, GOAL GROUP OF COMPANIES

Goal has won 3 awards in the ACQ Gamechangers 2021 Global Awards. 'International Class Actions Recovery Firm of the Year', 'International Tax Reclamation Services Firm of the Year' and our CEO, Mr Stephen Everard won 'Inspirational Leader of the Year'.



# Office Locations



Goal is headquartered in London with an expanding footprint across EMEA, the Americas and APAC where each office is staffed by local tax, legal and securities specialists as well as regional dedicated client services and sales representatives.

## New York

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