



## Counterparty Manager

**A secure platform for counterparties to manage the onboarding workflow by sharing client, tax, regulatory, constitutional documents and data to support account onboarding, kyc, credit, tax, and legal review.**

### KEY STATS

**900+**

buyside customers

**50,000+**

legal entities

**100,000+**

trading accounts

**80+**

dealers accessing documents

Counterparty Manager is a highly secure environment for trading counterparties to streamline the onboarding process and accelerate their time to market. By managing and sharing documentation and regulatory data centrally, counterparties are able to validate business conduct rules while also fulfilling KYC, credit, legal and tax obligations. Multi-factor authentication, IP whitelisting, and encrypted document storage provide a higher level of security than traditional e-mail, ensuring confidential documents are only accessed by those with permission.

The **exchange** of counterparty information and trading agreements is critical to opening a trading relationship in a timely fashion. The extensive and varying documentation requirements to meet regulatory obligations can be complex and time consuming to manage. Manual processes and siloed datasets may lead to an increased risk of incomplete or erroneous data, which can cause delays in trade settlement.

Counterparty Manager offers a centralized online environment for uploading, disseminating and maintaining more than 200 document types across 45 categories. It supports documentation requirements across the front, middle and back offices for KYC, AML, tax, legal, and credit. Users are able to verify the source and destination of documents on the system to address audit requirements.

### Simplify Workflows

User friendly, online interface for documentation exchange and management, helping to simplify processes for regulatory requirements

### Drive Efficiency

Reduces reliance on email and paper-based interactions therefore facilitating a more efficient and cost-effective exchange of large volumes of data and documentation

### Global Outreach

Access to broad network of broker dealers, institutional investors and other trading counterparties

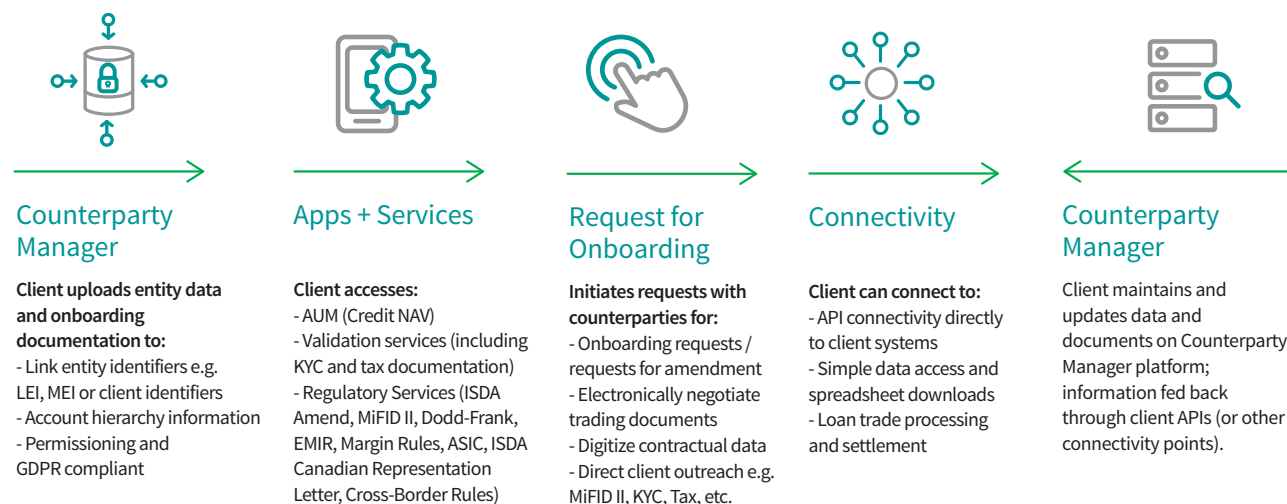
### Address Regulatory Requirements

Helps address onboarding requirements and enables compliance with evolving regulatory obligations, including Dodd-Frank, EMIR, FATCA, and MiFID II.

### Improve Security

Security protocols built in to Counterparty Manager ensure documents are not accessed by parties who are not permissioned.

## Supporting increased operational efficiency and counterparty transparency



## Counterparty Manager modules

### Electronic Trading Compliance

A standardized questionnaire designed with industry associations, including AIMA, ASIFMA, ATF, FPL and HKIFA, helps buy-side firms and brokers gather and exchange information to meet due diligence requirements outlined by the Hong Kong Securities Finance Commission's electronic trading rules.

### ISDA Amend

The ISDA Amend tool, built on the Counterparty Manager platform, enables market participants to make regulatory elections and declarations, and permission this information to their trading counterparties. To help dealers and their clients comply with the disclosure rules, IHS Markit and the International Swaps and Derivatives Association, Inc., have developed ISDA Amend. By simplifying the information gathering process through standardised, online representation letters and questionnaires (based on governing ISDA protocol) accessed through Counterparty Manager, the automated ISDA Amend tool enables users to submit, share and update counterparty agreements quickly and efficiently.

### Canadian Rep Letter

Using the ISDA Amend functionality, market participants can provide information on their status under Rule 91-507, which was jointly published by several Canadian provincial regulators. This helps their counterparties assess their reporting requirements to the appropriate trade repositories.

### Tax Utility

This tool will provide a centralized and standardized process, approved by the IRS, to remediate and validate client tax documentation as required by FATCA. Counterparty Manager, which already connects firms impacted by FATCA, will form the backbone of the service, while CTI Tax Solutions will provide the validation tools and FATCA knowledge and Genpact will offer operational and remediation expertise.

### Document Digitization

Through a partnership with Smart Communications, IHS Markit has integrated the SmartDX negotiation tool into Counterparty Manager to support master confirmation agreements. By migrating the negotiation and execution

of these agreements online, firms can improve efficiency and transparency. Digitized documents also allow for the use of data analytics.

### Outreach360

Outreach360 provides a single standardized and auditable platform to create, manage, send, track and store all counterparty outreach for regulatory, due diligence and data gathering purposes. The platform supports bilateral communication between all counterparties and allows you to leverage the existing entity and user information which already exists on Counterparty Manager. It also provides the ability to reach out to users on and off the platform.

### Request for Amendment

Request for Amendment centralizes and automates legal onboarding when adding, removing, or modifying accounts to existing master trading and custody account agreements. The secure platform enables buy-side firms to engage with and initiate requests for multiple amendment letters to umbrella documents to exchange with their sell-side counterparts, reducing onboarding times and simplifying the reconciliation process.

## More information on IHS Markit products and services

**London** +44 20 7260 2000  
**New York** +1 212 931 4900  
**Amsterdam** +31 20 50 25 800  
**Boulder** +1 303 417 9999

**Dallas** +1 972 560 4420  
**Frankfurt** +49 69 299 868 100  
**Hong Kong** +852 3726 7000  
**Tokyo** +81 3 6402 0130

**Toronto** +1 416 777 4485  
**Singapore** +65 6922 4200  
**Sydney** +61 2 8076 1100

[sales@ihsmarkit.com](mailto:sales@ihsmarkit.com)