



Counterparty Manager: Electronic Trading Compliance

Counterparty Manager Electronic Trading Compliance is a regulatory tool enabling customers to easily and efficiently exchange information for electronic trading due diligence and algorithmic trading regulations. The tool supports multiple regulatory regimes and allows for customization of due diligence questionnaires to support local requirements, including the ability to distribute and track algorithm training material receipt.

Counterparty Manager provides an electronic questionnaire, training review and sign-off capability designed by a number of industry associations, including AFME/ TIA, AIMA, ASIFMA, ATF, FPL HKIFA and AFME DEA to help buy-side firms and brokers gather and exchange the information necessary to meet their due diligence requirements.

The Hong Kong Securities and Futures Commission's electronic trading rules under the Code of Conduct (Paragraph 18 and Schedule 7) require Hong Kong-licensed brokers to attest that their electronic trading systems are properly supervised, tested and risk managed. Their buy-side customers must acknowledge that they understand algorithms and other technologies used by their brokers.

The Equities Order Handling Questionnaire created by AFME and The Investment Association is also available to support the European Economic Area best practices for broker due diligence. Users can add customized questions or create an entirely new questionnaire to easily upload and distribute to trading partners through the platform.

Through this tool, broker dealers can centrally manage the distribution of their electronic trading material including ability to track and manage training status. Buy-side firms have a centralized platform to manage all their electronic trading compliance needs with the ability to offer training status's of individual traders. Real time acknowledgement and full audit trail helps provide efficient fulfillment on compliance requirements.

The Electronic Trading Compliance modules are distributed via Outreach360, which allows users to send the modules to all of their clients, and provides a centralized solution for reporting, tracking and auditing.

Simplify Due Diligence

A single platform providing a streamlined regulatory and compliance onboarding ecosystem for uploading and disseminating counterparty documentation

Enhance Efficiency

Securely exchange confidential documentation through a single web-based portal which provides full visibility into client interactions and responses

Address Regulatory Compliance

Support increased due diligence obligations as outlined by MiFID II, CFTC guidelines, and Hong Kong SFC electronic trading rules

Increased Transparency

Access real-time status and a full audit trail providing responsible officers with instant view of compliance status

Highlighted annual changes for efficient review and acknowledgement history

Manage your clarifications with clients

Centralize electronic trading due diligence with industry templates

More information on IHS Markit products and services

APAC
+65 6922 4200

Copyright © 2019 IHS Markit. All Rights Reserved