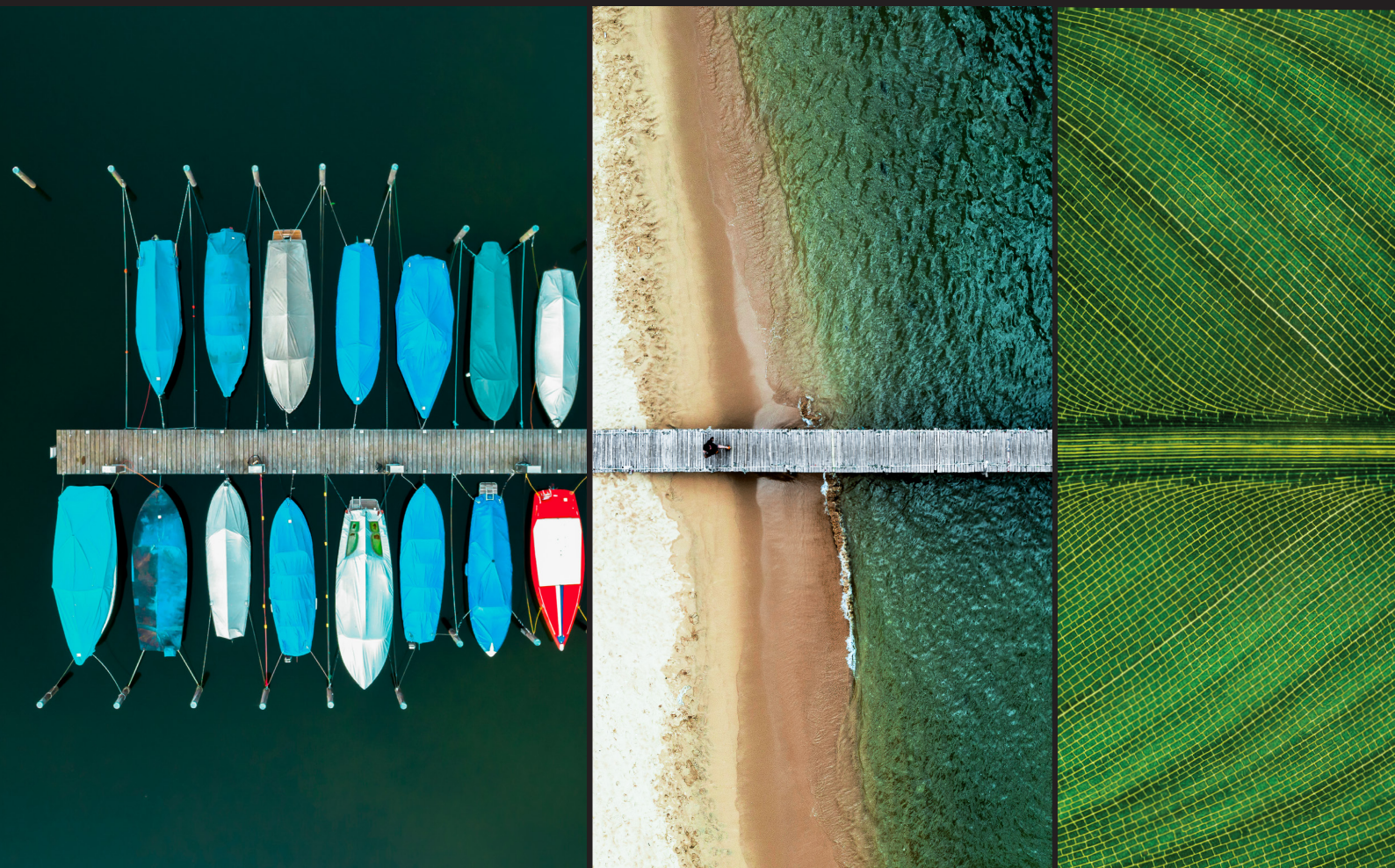


Managed Services

for Network and Regulatory Solutions



Turn volatility into opportunity

Financial institutions that move fast can turn market volatility into a market advantage. **S&P Global Market Intelligence Managed Services for Network and Regulatory Solutions** help you scale, seize opportunity, and accelerate growth through capacity creation and operational transformation.

Enhance and accelerate operations

S&P Global Market Intelligence Managed Services for Network and Regulatory Solutions support the full life cycle for compliance-driven operations. Whether you need to strengthen a single function or an entire operational domain, we can help you scale and achieve the desired outcome.

Client/investor onboarding

Streamline client or investor onboarding to facilitate trading sooner and enhance the onboarding experience.

AML and KYC compliance

Enhance compliance with AML and KYC regulatory requirements while reducing the operational burden.

Tax withholding and reporting

Streamline form validation, withholding rate calculations, and information return reporting.

Corporate actions data management

Reduce costs and streamline the collection, validation, and dissemination of trusted corporate actions data.

Post-trade processing

Optimize efficiency and regulatory compliance in post-trade processes across asset classes.

Counterparty/custodian outreach

Access a dedicated team of experts to manage and track counterparty or custodian outreach, documentation, and communication.

Tax regulatory compliance

Scale and streamline increasingly complex tax processes to maximize compliance and minimize costs.

Third-party risk management

Transform your TPRM program and manage third-party risks and relationships more efficiently.

Trade and transaction reporting

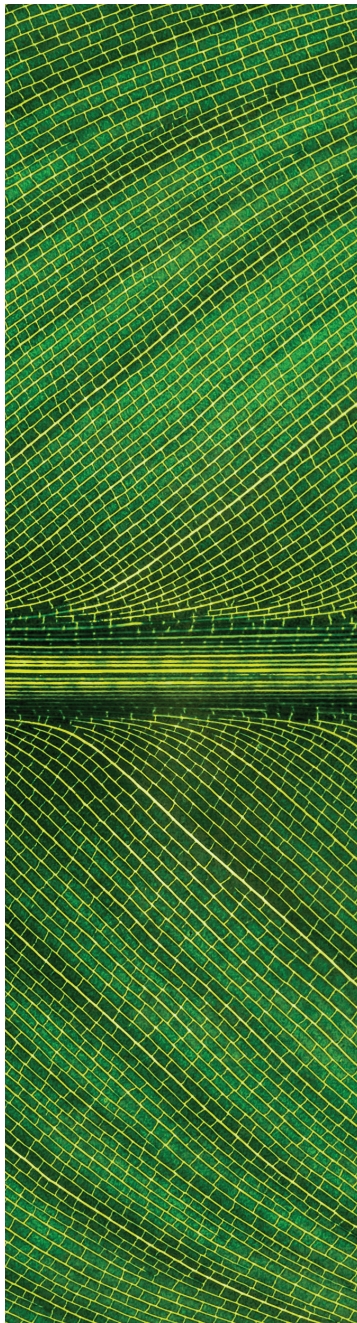
Comply with post-trade, multi-jurisdictional regulatory reporting obligations using a state-of-the-art analytics platform and support from deep domain experts.

Regulatory change management

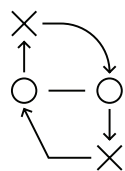
Implement new compliance processes and controls with access to leading expertise, workflows, and technologies.

Flexible options

For decades, financial market participants have relied on S&P Global Market Intelligence Managed Services for Network and Regulatory Solutions to help them create capacity on demand and transform outcomes in key operational areas including client onboarding, tax, regulatory reporting, third-party risk management, and corporate actions solutions.



Whether you need operational insights, additional capacity, or enhanced performance, we have a solution to fit your priorities.



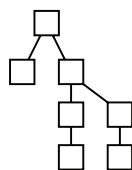
Process reviews

Enhance the speed, resilience, accuracy, and diligence of your regulatory processes. Our operational specialists review your workflows, measure your outcomes against global performance benchmarks, and identify opportunities for optimization and transformation.



Capacity creation

Augment the capacity of your in-house team. Our highly trained and technology-agnostic talent resources integrate seamlessly with your preferred processes and technologies to help you manage cyclical or fluctuating workload increases without adding headcount.



Managed process

Streamline risk and regulatory workflows, transform the customer experience, and enhance revenue enablement. Supported by S&P Global Market Intelligence's world-leading technologies, processes, and data, your dedicated service team is fully accountable for outcomes and deliverables.

In 2021, our teams processed...

300,000+
client communications

600,000+
IRS tax forms

15,000+
KYC profiles

100,000
onboarding requests

S&P Global Market Intelligence Technology

Managed process solutions leverage a range of innovative, proprietary technology solutions that enhance accuracy, slash processing times, and provide operational visibility and insights.

S&P Global Market Intelligence's award-winning technologies include KY3P® for third-party risk management, Counterparty Manager for entity data exchange, client onboarding and regulatory compliance, and a range of solutions for processing corporate actions.

Counterparty Manager

The exchange of counterparty information and trading agreements is critical to opening a trading relationship swiftly, but intensive regulatory requirements combined with manual processes and siloed datasets can create delays and introduce errors.

Counterparty Manager manages the onboarding workflow and client engagement by sharing client, tax, regulatory, and constitutional documents and data to support account onboarding, KYC, credit, tax and legal review.

Tax Solutions

Scale, streamline, and reduce the costs of global tax compliance processes.

Tax Solutions cover multiple jurisdictions and regulatory obligations, including QI, FATCA, CRS due diligence, Section 871(m), Section 305(c), 1446(f), validation of Forms W-8 and W-9, KYC documents and AEOI self-certifications, withholding rate calculations, GIIN/TIN matching, and information return reporting including AEOI, FATCA, TRACE, and MDR.

KY3P

As firms increase reliance on third parties, they open themselves up to risk across domains such as cyber

security, sanctions, financial stability, reputational risk, ESG, and more.

KY3P is an integrated suite of solutions for onboarding, evaluating, monitoring, and managing third parties thoroughly and transparently to manage end-to-end third-party and third-party risk.

Managed Corporate Actions (MCA)

Managing corporate actions using manual processes and legacy technologies is inefficient and high risk in a complex financial environment driven by large volumes of global transactions.

The Managed Corporate Actions technology-enabled service gives firms across a range of asset classes, event types, and business lines access to a golden corporate actions record that is validated against agent/custodian notices.

Regulatory Reporting

Cappitech Regulatory Reporting Dashboard

Manage and monitor your trade and transaction reporting for EMIR, MiFID, SFTR, SEC, CFTC, MAS and other regimes.



Leading market data

As the largest data, insight, and analytics firm in the world, S&P Global Market Intelligence enriches every service engagement with access to financial market information that drives regulatory and operational insight and efficiency. Managed services are informed by a wealth of market data including validated corporate actions and trend, pricing, reference, and market data to inform, guide, and benchmark your organization.

S&P Global Market Intelligence collects financial market information from...

1.4 million
corporate actions

250+
banks

200,000+
legal entities

12,000+
buy-side customers

Global experts

Maintaining stable operations in the face of regulatory change, talent attrition, and changing market conditions requires extensive domain knowledge and innovative thinking.

S&P Global Market Intelligence custom-builds supporting teams with the experience you need, whether it's seasoned practitioners, global operational and regulatory experts, or industry leaders who provide guidance and insight at the highest level. Team members meet all global regulatory requirements, are fully versed in industry best practices and regulatory change management, and possess deep domain expertise in the data sets and technology platforms that automate, accelerate, and enrich service delivery.



Marjorie Chee
Global Head of
Managed Services,
Regulatory Compliance



Jatan Pathak
Senior Product Manager,
Corporate Actions, Data
and Managed Services



William Sheridan
Managing Director,
Tax Solutions



Samuel Meddick
European Head of Managed
Services, Network and
Regulatory Solutions



Kate Aziz
Global Head of
Managed Services, KY3P



Fabien Romero
Head of Transaction
Reporting, Managed
Services



Sebi Thapa
Global Head of Managed
Services Operations

About S&P Global Network and Regulatory Solutions – Managed Services

From on-demand capacity creation to robust managed process, our client onboarding, tax, regulatory reporting, third-party risk management, and corporate actions solutions are supported by groundbreaking workflow technologies, a global network of 500+ domain experts, one of the world's largest sources of transactional data, and the largest network of cross-asset-class market participants.

S&P Global maintains resource pools in Andover, Dallas, New York, Dublin, London, Gurgaon, Bangalore, and Noida, enhanced by a comprehensive partnership network to support large-scale deployments. Our global team of compliance professionals ensure continuous, dedicated support, strategy, and capacity via onsite, offsite, or hybrid support models.

500+

domain experts deployed

300,000+

client communications sent

600,000+

IRS tax forms validated

15,000+

KYC profiles completed

11.4M+

corporate actions processed

3.5M+

securities processes across asset classes



Speak to an expert to explore solutions for your financial institution.

For more information, please visit ihsmarkit.com/ManagedServicesforNRS