# IHS Markit®

# Counterparty Manager

**Is the industry standard solution 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.**

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 silo 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.

The platform has a customised outreach capability through Outreach360 for users to send branded emails and branded website links to their counterparties which request documents, regulatory data, and questionnaires to complete due diligence requirements.

## KEY STATS

**12,000+**
buyside customers

**200,000+**
legal entitles

**100,000+**
trading accounts

**150**
dealers and brokers accessing documents

## Simplify Workflows

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

## Drive Efficiency

**Immediately** reduce onboarding times and eliminate reliance on email and paper-based interactions. Exchange of large volumes of entity and regulatory data and documentation with the largest community of banks and brokers.

## Global Outreach

Access to broad network of broker dealers, institutional investors and other trading counterparties. Reply to requests for regulatory data, KYC, and tax directly on the platform and reuse data across brokers.
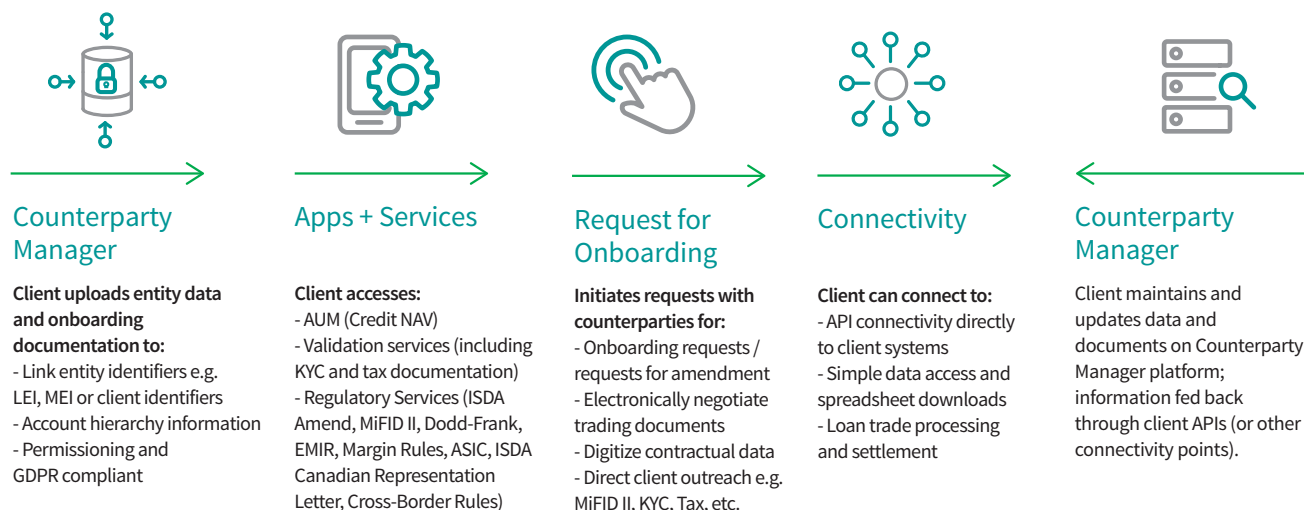
## Address Regulatory Requirements

The industry solution for addressing regulatory onboarding requirements and always updated with evolving regulatory obligations, including Dodd-Frank, EMIR, FATCA, Uncleared Margin Rules, ASIC, Electronic Trading Compliance and MiFID II/MiFIR.

## Securely Engage with Counterparties

Secure encryption of entity documentation and data including industry compliant data permissioning and secure data transfer that is routinely tested to be compliant with the latest cybersecurity requirements.

## Driving onboarding efficiency and improved counterparty transparency

Counterparty Manager is revolutionizing onboarding with the largest community of financial market participants



### Counterparty Manager

**Client uploads entity data and onboarding documentation to:**
- Link entity identifiers e.g. LEI, MEI or client identifiers
- Account hierarchy information
- Permissioning and GDPR compliant

### Apps + Services

**Client accesses:**
- AUM (Credit NAV)
- Validation services (including KYC and tax documentation)
- Regulatory Services (ISDA Amend, MiFID II, Dodd-Frank, EMIR, Margin Rules, ASIC, ISDA Canadian Representation Letter, Cross-Border Rules)

### Request for Onboarding

**Initiates requests with counterparties for:**
- Onboarding requests / requests for amendment
- Electronically negotiate trading documents
- Digitize contractual data
- Direct client outreach e.g. MiFID II, KYC, Tax, etc.

### Connectivity

**Client can connect to:**
- API connectivity directly to client systems
- Simple data access and spreadsheet downloads
- Loan trade processing and settlement

### Counterparty Manager

Client maintains and updates data and documents on Counterparty Manager platform; information fed back through client APIs (or other connectivity points).

## Counterparty Manager modules

**AUM Credit Monitoring Solution**

Centralise the collection and distribution of assets under management information for each trading account to each of your brokers in a targeted and highly secure framework.

**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.

### ISDA Amend 2.0

Building on the extensive ISDA Amend network of users, ISDA Amend 2.0 offers users the ability to manage the complex margin regulations and establish Variation Margin agreements with their counterparties. Users can exchange critical information for margin reform using the Self-Disclosure Letter (SDL). For the stay protocol, ISDA Amend 2.0 offers buysides the ability to adhere to the Jurisdictional Modular Resolution Stay Protocol (JMP) for multiple countries in compliance with global termination rights in financial contracts including the US FED QFC stay protocol.

### Tax Utility

Tax Utility (TU) provides centralized and standardized process for storing and validating FATCA and CRS forms with the associated entity documentation, to remediate and validate client tax documentation as required by FATCA and the Common Reporting Standard requirements. Counterparty Manager, which already connects firms impacted by FATCA and CRS, forms the backbone of the service, while CTI Tax Solutions provides the validation tools and global tax expertise to support remediation of entity classification and tax withholding information. TU is the most efficient way to manage your ongoing tax documentation requirements.

### Document Digitization & Legal Trading Documentation

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 and automated data transfer of contract information into downstream systems.

### 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. This is a unique approach to enable client outreach for regulatory, tax, KYC, or general due diligence information that puts the sender in control of their own branded outreach campaigns leveraging our tools, data, and contacts. The platform allows users to easily create firm-branded emails and landing pages that ensure you are engaging effectively to gather and validate critical information. Our platform has been used by buyside and sellside firms to engage counterparties to comply with MiFID II repapering, Electronic Trading Due Diligence, tax form outreach, KYC/AML due diligence, etc.

### 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 buyside firms to engage with and initiate requests for multiple amendment letters to umbrella documents to exchange with their sellside counterparts, reducing onboarding times and simplifying the reconciliation process.

### Onboarding Accelerator

Onboarding Accelerator is an automated and customizable end-to-end onboarding solution for brokers, custodians, corporates, fund admins, managers and service providers. Built within the Counterparty Manager platform, it integrates entity data, document collection, KYC and Tax profile validation, regulatory protocols and self-declarations, legal and credit agreements and operational set up into a seamless solution.

## More information on IHS Markit products and services

**AMERICAS**
+1 212 931 4900

**EMEA**
+44 20 7260 2000

**APAC**
+65 6922 4200

sales@ihsmarkit.com