

# Counterparty Manager: Certificate Compliance

## Clear your pre-trade pathway

Suitability Certificate collection is a necessary part of the pre-trade compliance /due diligence process. But collecting and managing the maze of certificate requirements can hamper dealers' ability to move forward with their core, value-added work.

Market Intelligence's Certificate Compliance service fully automates the outreach, collection, validation, and mapping of suitability certificates. It then seamlessly connects certificates to its Counterparty Manager solution so dealers can focus on what they do best: analysis, client service, and trading.

Our service covers the following certificates:

- FINRA 2111, 2242, and 5131
- Regulation S
- Qualified Institutional Buyer (QIB)
- Sophisticated Municipal Market Professional (SMMP)

### **Confirm suitability, quickly and easily**

Access certificates at the touch of a button through our Counterparty Manager platform, which provides an interactive and highly customizable user experience.

### **Hassle-free collection**

Use our database of investor certificates to instantly confirm suitability. And if we don't have it already, we will quickly collect the document so your trade can continue, with a 97% response rate on live deals.

### **Full auditability**

Gain peace of mind with automatic collection and storage of records and metadata, which provide a paper trail to protect your firm from potential legal challenges.

### **Streamlined workflows**

iBenefit from true API connectivity to internal systems, enabling integration with pre-trade flags and other book building tools. APIs automatically update your trading systems with good-to-trade flags, providing instant clarity.

### **Unmatched data quality**

Be confident in data quality. We ensures investor verification accuracy by mapping account information to Bigdough, the industry-standard database of institutional investors.

### **Best-in-class customer service**

Ensure your needs are met via the close collaboration of a dedicated account manager, client onboarding, and operations team.

## Key Stats

**55,000+**

Investor certificates collected and maintained

**>90%**

Response rate on live deals

**70+**

Clients already use the suitability certificate service

## Certificates

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<b>FINRA 2111</b> Suitability	Certifies the recommended transaction or investment strategy is suitable for the customer.
<b>FINRA 2242</b> Debt Research Reports	Acknowledgments from institutional clients regarding potential conflicts of interest between debt research and their investment banking business.
<b>FINRA 5131</b> New Issuance Allocations and Distributions	Supplements Rule 5130 governing investors participation in equity IPOs.
<b>Qualified Institutional Buyer (QIB)</b>	Allows institutions to participate in 144A deals such as debt issuance, private placements, loan syndications, etc.
<b>Regulation S</b> Offshore Offers and Sales	Governs the offer and sale of securities to overseas buyers without registration.
<b>Municipal Market Professional (SMMP)</b> MSRB Rule D-15 Sophisticated	Identifies 'sophisticated municipal market professional' which is necessary in order to trade.

## CONTACT US

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