



Counterparty Manager: Certificate Compliance

Automate the compliance approval for your client trading accounts

Knowing your customer is not only a compliance issue but an operational challenge. Overlapping rules from FINRA and SIFMA to the MSRB and the Securities Act of 1933 have created a web of requirements to ensure that banks engage in certain transactions only with 'suitable' clients.

Our Certificate Compliance service manages client certification collection, mapping those certificates to trading accounts and automatically feeding this information into bank CRM and transaction systems. Financial institutions can focus on compliance analysis and client service rather than collecting and manually mapping certificates from an external source.

Our service covers the following certificates:

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

Integrated with Counterparty Manager

PDF versions of the certificates will be available on our Counterparty Manager platform along with all the other buy side documentation like tax forms, articles of incorporation, NAV / AUM statements, investment management agreements, and more.

Streamlined workflows

Ongoing integration with IHS Markit book building tools increases efficiency.

Premium customer service

A dedicated account manager, client onboarding and operations team work together to ensure your needs are met.

Robust data quality

Account information is mapped to our industry standard BigDough database of asset managers and corporate issuers ensuring investor verification accuracy.

Straight through processing

Automated delivery of client certificate status via API to client data and transaction systems ensures the correct client certificate is delivered to the correct users and systems.

Certificates:

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

More information on IHS Markit products and services

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