

Trade and Transaction Reporting

KEY BENEFITS

A SINGLE PLATFORM THAT CAN BE USED NOT ONLY FOR TRADE AND TRANSACTION REPORTING, BUT ALSO FOR ALL OTHER REPORTING REQUIREMENTS GLOBALLY

- **IDENTIFIES ALL IN-SCOPE TRANSACTIONS**

- **MANAGES TRADE LIFECYCLES**

- **AGGREGATES AND VALIDATES THE REQUIRED DATA)**

- **PRODUCES REGULATORY REPORTS**

- **ABILITY TO REVIEW DATA AND CONDUCT VARIANCE ANALYSIS**

- **SIGN-OFF FUNCTIONALITY**

- **DRILL-DOWN FROM REPORTED VALUES TO MASTER DATA**

- **ABILITY TO CHECK ALIGNMENT BETWEEN REPORTED TRADES AND BOOKS AND RECORDS**

- **AUDIT TRAIL OF CHANGES MADE TO DATA**

AxiomSL offers a full solution for current and future trade and transaction reporting requirements globally. We can implement reporting solutions in a matter of weeks as we have a modular, flexible and robust platform. Our current Trade and Transaction Reporting solution covers regulatory reporting in the European, North American, and Asia-Pacific markets. We can quickly add further reporting regimes where and when required.

AMERICAS

Canadian Derivatives Trade Reporting

Canadian derivatives are regulated at the provincial level. On the 29 July 2016, the reporting of new trades by derivatives dealers or reporting clearing agencies for all Canadian provinces began. By 1 December 2016 reporting of preexisting transactions in the new provinces must have been completed.

The Dodd-Frank Act

The Dodd-Frank Act – Swaps and Derivatives is the implementation in the US of the 2009 agreement by the G20 countries to strengthen the regulation of the over-the-counter (OTC) derivative market. It went live in January 2013 and it mandates eligible counterparties to report details of swaps and security-based swaps trades into a registered Swap Data Repository.



APAC

Monetary Authority of Singapore (MAS) Securities & Futures Regulations

The MAS Securities & Futures Regulation aims to monitor and reduce the risk of the over-the-counter (OTC) derivative markets in Singapore. The MAS “Securities and Futures Act (Reporting of Derivatives Contracts) Regulation” of 2013 mandates eligible counterparties to report under scope derivatives’ data into a registered Trade Repository.



The Australian Securities & Investments Commission (ASIC) Derivative Transaction Reporting

The ASIC Derivative Transaction Reporting is the implementation in Australia of the 2009 agreement by the G20 countries to strengthen the regulation of the over-the-counter (OTC) derivative market. The ASIC Derivative Transaction Rules (Reporting) went live in 2013 and it mandates eligible counterparties to report under scope derivatives’ data into a registered Trade Repository or an equivalent recognised Trade Repository..



EMEA

EMIR

European Market Infrastructure Regulation (EMIR) is the implementation in the EEA of the 2009 agreement by the G20 countries to strengthen the regulation of the over-the-counter (OTC) derivative market. EMIR reporting has been live since January 2014 but has had a significant change, implemented in November 2017. It provides authorities with a comprehensive overview of the market and for assessing systematic risk, in particular regarding interconnectedness between OTC derivative market participants.

FinfraG

FinfraG is the implementation in Switzerland of the 2009 agreement by the G20 countries to strengthen the regulation of the over-the-counter (OTC) derivative market. Reporting obligation started in April 2018 for some eligible counterparties and it will be phased in for all eligible counterparties over the space of one year. Under scope derivatives' data must be reported into a registered Trade Repository.

MiFIR Trade and Transaction Reporting

Markets in Financial Investments Regulations came into force in January 2018, extending the scope of the Markets in Financial Instruments Directive (MiFID), which introduced a transaction reporting regime across the European Union (EU) in 2007. The aim of the regulation is to provide ESMA with a tool for market abuse and it impacts all eligible EEA investment firms and trading venues.

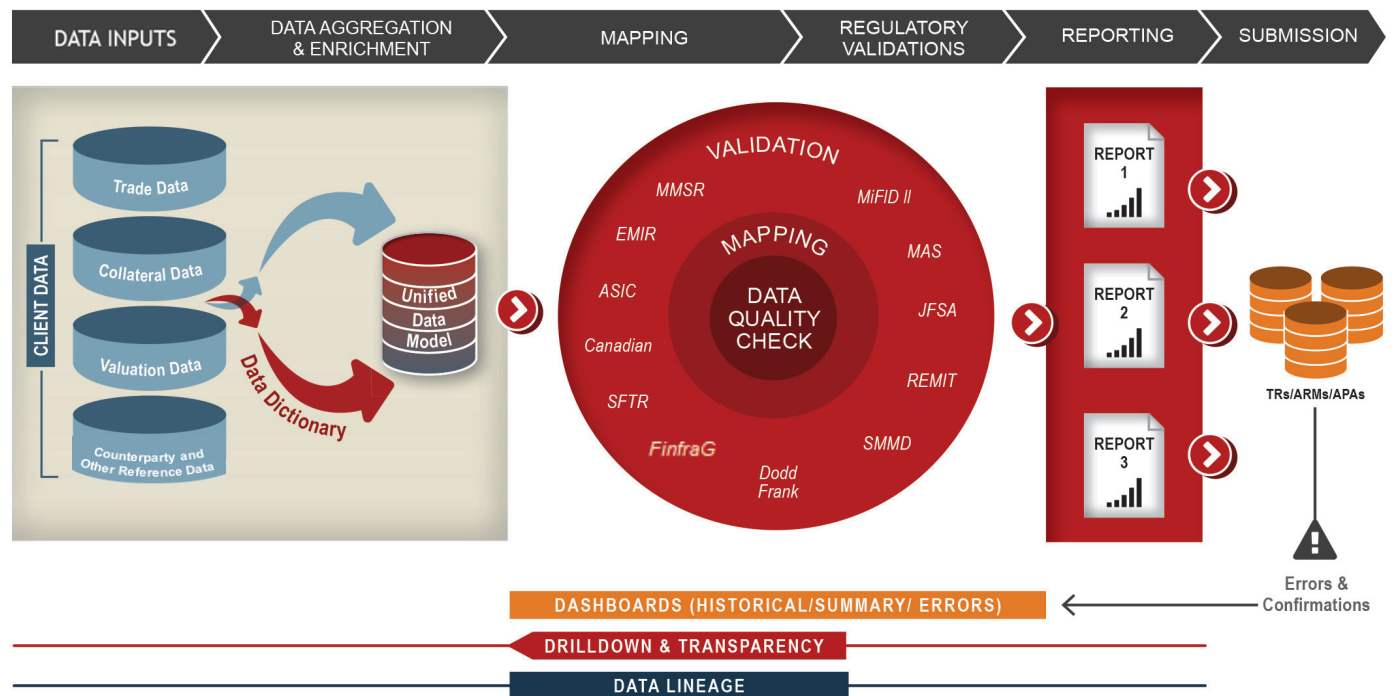
REMIT

Regulation on (Wholesale) Energy Market Integrity and Transparency (REMIT) will enable efficient market monitoring by regulators for the detection and deterrence of market manipulation in wholesale energy markets. Reportable products include contracts and derivatives relating to the supply or transportation of electricity or natural gas where delivery is in the EU. Transaction reporting started on 7 October 2015.

SFTR (Expected Q1 2020)

The Securities Financing Transaction Regulation (SFTR) aims to provide transparency into the world of securities financing transactions both from a systemic risk viewpoint as well as financial stability. Although it impacts all EEA entities and Non-EEA entities with an EEA branch, it focus particularly on the shadow banking system

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