

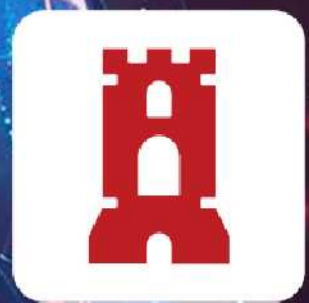
Transaction Reporting & Monitoring Services

All Complyport's Transaction Reporting and Monitoring Services are provided via the MAP FinTech Platform, a SaaS (Software as a Service) solution hosted and supported by Amazon Web Services. The MAP FinTech Portal provides clients with a user-friendly web environment to manage monitor and configure all of our services (given below), supported by our highly experienced regulatory technology experts.

Product Name	Regulatory Obligation	Target Clientele	Geographical Coverage	Complyport Technology	Frequency
EU EMIR Reporting	The European Market Infrastructure Regulation (EMIR) requires the reporting of all derivatives, whether OTC or exchange-traded, to a trade repository	Banks, Investment firms, non-financial counterparties etc. Virtually any entity established in the EU transacting in financial derivatives	European Economic Area (EEA)	Reporting to ESMA authorised Trade Repositories (TRs) trades in Derivatives as per the requirements of EMIR	Daily
UK EMIR Reporting	The UK EMIR requires all derivatives, both OTC and exchange-traded, to be reported to a registered UK trade repository	Banks, Investment firms, non-financial counterparties etc. Virtually any entity established in the UK transacting in financial derivatives	UK	Reporting to TRs registered or recognised under UK EMIR	Daily
EU MiFIR Reporting	MiFIR requires investment firms that execute transactions in financial instruments to report complete and accurate details of such transactions to the competent authority	Banks, Investment firms, brokers-dealers	European Economic Area (EEA)	Reporting to the Competent Authority either directly or through an Approved Reporting Mechanism (ARM), transactions in certain Financial Instruments as per the requirements of MiFIR	Daily
UK MiFIR Reporting	UK MiFIR requires firms involved in executing trades to report specific details of each transaction to the Financial Conduct Authority (FCA) as a means to increase transparency, reduce risks, and ensure fairness with UK financial markets	Banks, Investment firms, brokers-dealers	UK	Reporting to the Competent Authority either directly or through an Approved Reporting Mechanism (ARM), transactions in certain Financial Instruments as per the requirements of UK MiFIR	Daily

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EU SFTR	SFTR responds to the need to enhance the transparency of securities financing markets and thus of the financial system. SFTR creates an EU framework under which details of SFTs need to be reported to trade repositories (TRs)	Banks, Investment Firms, brokers,dealers, UCITS, AIFMs and other financial and non-financial counterparties	European Economic Area (EEA)	Reporting to ESMA authorised Trade Repositories (TR) trades in SFTs as per the requirements of SFTR	Daily
UK SFTR	UK SFTR plays a crucial role in enhancing transparency within the securities financing market, enabling regulators to monitor risks and protect market integrity. By mandating detailed reporting of SFTs, it aims to improve oversight and mitigate systemic risks in the financial system	Banks, Investment Firms, brokers,dealers, UCITS, AIFMs and other financial and non-financial counterparties	UK	Reporting to FCA registered or recognized Trade Repositories (TR) trades in SFTs as per the requirements of UK SFTR	Daily
ASIC	ASIC Reporting refers to the mandatory derivatives transaction reporting regime implemented by the Australian Securities and Investments Commission (ASIC) for the monitoring and prevention of systemic risk	Banks, Investment firms, non-financial counterparties etc. Virtually any entity established in Australia transacting in OTC financial derivatives	Australia	Reporting to ASIC authorised Trade Repositories (TRs) trades in OTC Derivatives as per the requirements of ASIC Derivative Transaction Rules	Daily
MAS	The Monetary Authority of Singapore (MAS) mandates the reporting of OTC derivatives booked or traded in Singapore for the monitoring and prevention of systemic risk	Banks, Finance companies, Capital Markets Services, Significant derivative holders etc. Entities transacting in OTC financial derivatives captured within Singapore	Singapore	Reporting to MAS authorised Trade Repositories (TRs) trades in OTC Derivatives as per the requirements of the Securities and Futures (Reporting of Derivative Contracts) Regulations 2013	Daily

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CSA Reporting	The relevant Securities Commission for each of the administrative provinces and territories of Canada mandate the accurate and timely reporting for all classes of derivatives transactions	Entities in scope are determined in accordance with the ISDA methodology for reporting party requirements	Canada	Reporting to authorised Trade Repositories (TRs) trades in Derivatives as per the rules of the relevant Securities Commissions of the administrative provinces and territories of Canada	Daily
Best Execution Monitoring	MiFID II stipulates that investment firms must constantly monitor the effectiveness of their policy. If it appears during the monitoring that the policy is not effective, the policy has to be adjusted adequately	Banks, Investment firms, brokers-dealers	Global	Monitoring order execution quality related to all components as obliged by the Regulation (i.e. price, costs, speed, likelihood of execution and settlement, size, price continuity) providing analytics and necessary reports proving the monitoring	Daily
Trade Surveillance (Market Abuse)	Trade surveillance stems from the requirement of the market abuse legislation to implement a surveillance system that monitors and detects abusive, manipulative or illegal trading practices	Banks, Investment firms, brokers-dealers	Global	Monitoring and detecting activities for market manipulation, fraud, behavioural patterning and more across all asset classes and all products, thereby ensuring the prevention and investigation of abusive, manipulative or illegal trading practices	Daily
CRS Reporting	The Common Reporting Standard (CRS) for the automatic exchange of financial account information developed by the Organisation for Economic Co-Operation and Development (OECD) in the context of improving international tax compliance	Banks, Investment firms, E-Money, Pls, Fiduciary providers and others	Almost all OECD Countries	Receiving reportable information, constructing the CRS annual report and submitting it to the relevant competent authority	Annually
FATCA Reporting	The Foreign Account Tax Compliance Act (FATCA) requires financial institutions outside the USA to exchange information about financial accounts held by US citizens and entities for the purpose of reducing tax evasion	Banks, Investment firms, E-Money, Pls, Fiduciary providers and others	Almost Global	Receiving reportable information, constructing the FATCA annual report and submitting it to the relevant competent authority	Annually



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THANK YOU