



DTCC

DTCC REPORT HUB[®] USE CASE

A large multinational investment manager went live with DTCC Report Hub in 2022, allowing them to seamlessly source and report the counterparty trade data required for successful compliance with trade reporting obligations in Singapore and Australia.

THE PROBLEM: TIMELY DATA ACCESS

Counterparty 1: Investment manager (IM)

Counterparty 2: Prime broker (PB)

Reporting Jurisdictions: Monetary Authority of Singapore (MAS), Australian Securities and Investments Commission (ASIC)

IM, a large multinational investment manager, has MAS and ASIC trade reporting obligations covering cleared trades for Singapore and Australia domiciled funds that are executed by traders based in Singapore. IM successfully delegated their reporting to a clearing broker for MAS and ASIC, until the broker announced intentions to exit the prime broker market.

Like many buy-side firms, IM did not have timely access to the data required for direct reporting. As a result, they needed to select a replacement prime broker with the ability to provide trade reporting assistance for MAS and ASIC.

PB, a top global prime broker, was selected as IM's replacement prime broker. PB, as the clearing member, was in possession of the required data for reporting but 1) lacked access to the trader domicile information needed to determine reporting eligibility under MAS, and 2) did not support ASIC reporting as it has no reporting obligations itself for ASIC.

THE SOLUTION: AN ASSISTED REPORTING MODEL

PB engaged DTCC to help solve for this reporting dilemma using DTCC Report Hub's assisted reporting model. This workflow allows PB to provide IM with the data they need to self-report rather than taking on the responsibility of reporting on their behalf, a costly and operationally intensive commitment, particularly as PB does not have their own ASIC reporting obligations.



DTCC REPORT HUB

YOUR NEXT GENERATION TRADE REPORTING SOLUTION

We built DTCC Report Hub to put the power of a robust reporting solution in your hands. Simplify your entire reporting process by bolstering your overall pre and post reporting assurance workflows. The service's unparalleled functionality and intuitive user interface enables you to: manage the complexities of reporting across 14 jurisdictions covering global derivatives regulation, SFTR and MiFID II; alleviate the burden of updating your reporting processes to stay current with changing mandates; and unleash the power of resilient, cutting-edge technology to help you master your pre and post reporting assurance tasks.

Manage your holistic global derivatives and SFTR reporting needs when you use both Report Hub and our Global Trade Repository (GTR) services.

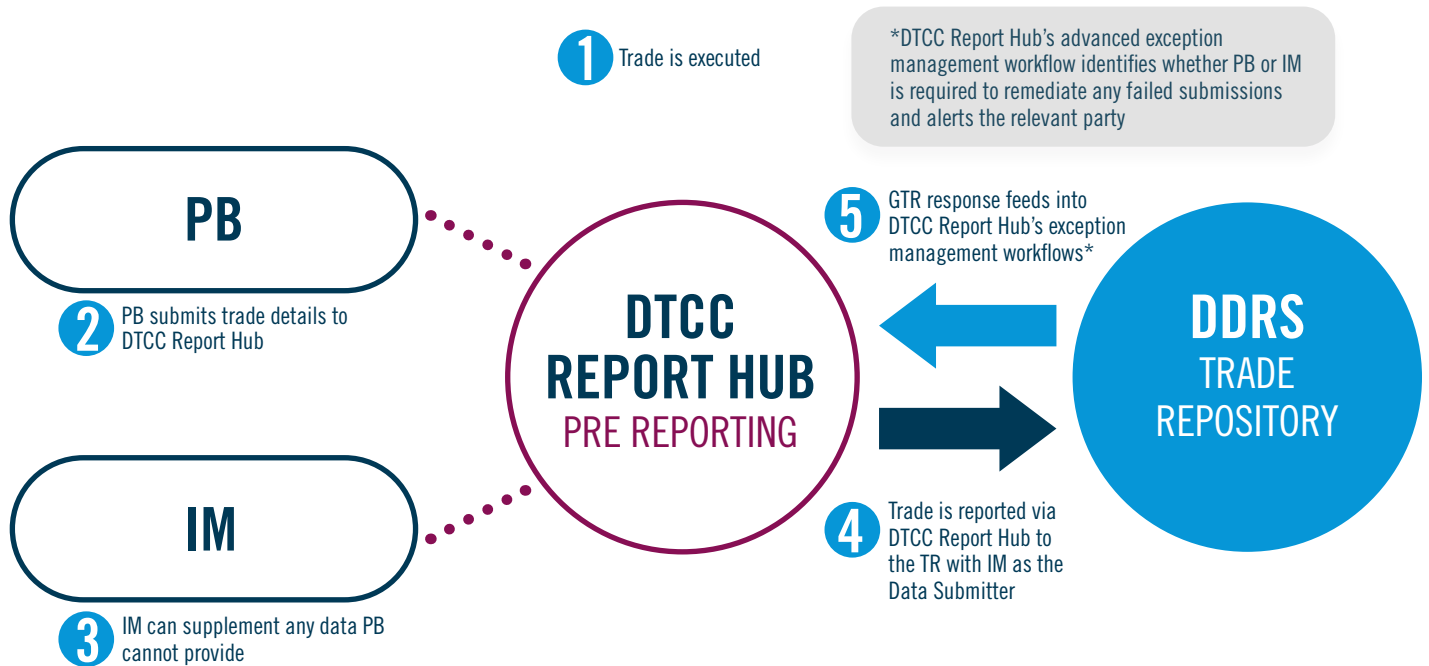
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Serving as IM's clearing broker, except for the trader details which identify where the trade was booked (required for MAS only), PB sends the specific trade data required to meet IM's reporting requirements for MAS and ASIC.

As an onboarded DTCC Report Hub client, IM provides the trader details to enrich each new trade submitted by PB. Using this enriched data, DTCC Report Hub can perform MAS and ASIC reporting eligibility checks, with the eligible trades submitted to DTCC Data Repository (Singapore) Pte. Ltd. ("DDRS"), the only trade repository currently approved by both MAS and ASIC.

Both IM and PB have access to exception management monitoring and remediation functionality in DTCC Report Hub, with clear roles and responsibilities defined between them for remediating any failed submissions.

HOW IT WORKS



- IM has access to DTCC Report Hub to monitor progress and remediate any issues related to the trader details
- PB also has access to DTCC Report Hub to view and remediate errors
- Contract is between DTCC Report Hub and IM, with PB named as a provider of data

DTCC Report Hub's **assisted reporting model** can be leveraged across all supported regimes to help Investment Managers meet their regulatory reporting obligations.

FOR MORE INFORMATION

On how your firm can benefit from DTCC Report Hub's assisted reporting model, please visit dtcc.com/reporthub or **talk to us today**.

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