



# At the Heart of Regulation

As regulatory reporting continues to evolve, our mission remains to provide our clients with state-of-the-art, scalable Reg-Tech solutions that simplify the way in which they meet their reporting obligations

REGULATORY REPORTING TO REGULATORS, TRADE REPOSITORIES AND ARMs ACROSS MULTIPLE JURISDICTIONS AND REGIMES

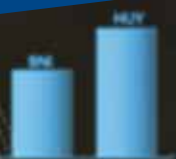


PEOPLE

WORLD

WWW

SEARCH



	TYU division	FRT division
GHY	254	152
NYW	630	320
NYC	241	455
NYJ	234	690
NYT	286	141
NYU	373	244

## About Us

MAP FinTech is a trusted technology provider to the financial services industry. It specializes in regulatory reporting solutions that arise from the requirements of a number of complex and challenging international regulations such as EMIR, MiFID, MiFID II/MiFIR, FATCA, CRS, etc. Our team is comprised of consultants from a range of professional backgrounds including IT, financial analysis, risk management, compliance, regulatory research and securities trading. Our team's combined expertise underpins our company's success in providing targeted solutions to our clients and

addressing their regulatory reporting needs across a diverse regulatory landscape. All the above, combined with our team's integrity and its commitment to excellence and innovation, lead our partners to place their trust in us. MAP FinTech is proud to be regarded as a leading technology service provider within the financial services sector.

**"MAP FinTech delivers unparalleled expertise, deep insight and best-in-class technology"**

## Why MAP FinTech?

**1. Long and Solid Regulatory Reporting expertise and Track Record:** MAP FinTech was one of the first EMIR reporting technology providers in the EU since the early beginnings of EMIR back in 2014. We have been reporting without interruption, without failures and without any downtime since February 2014 that we launched the first version of our Reporting System.

**2. Unparalleled Compliance support/expertise:** MAP FinTech is a member of MAP S.Platis Group, which is the largest financial services consultancy Group in the region and maintains one of the largest teams of financial services compliance experts in the EU.

**3. Fully automated process:** The data is gathered automatically and routed through a complex thorough automated validation procedure that ensures reporting accuracy, minimizing the possibility of rejected submissions and hence time-consuming resubmissions.

**4. Technical support/expertise:** The technical support team, specializes on the regulatory reporting fields, provides continuous support on what is needed to master the transaction reporting requirements, also from the technical side. Starting from the onboarding phase (systems assessment, integration, configuration, etc.) up to the initiation of the live reporting, the handover of the platform control to the client and the ongoing day to day support.

**5. Specialized Regulatory Technology (RegTech) expertise:** Managed to combine successfully and innovatively Compliance and Technology in such way that our Technology and Compliance teams collaborate methodically and productively, which allows our Company to be more flexible, efficient and effective in serving the new demanding and dynamic requirements of Global RegTech.

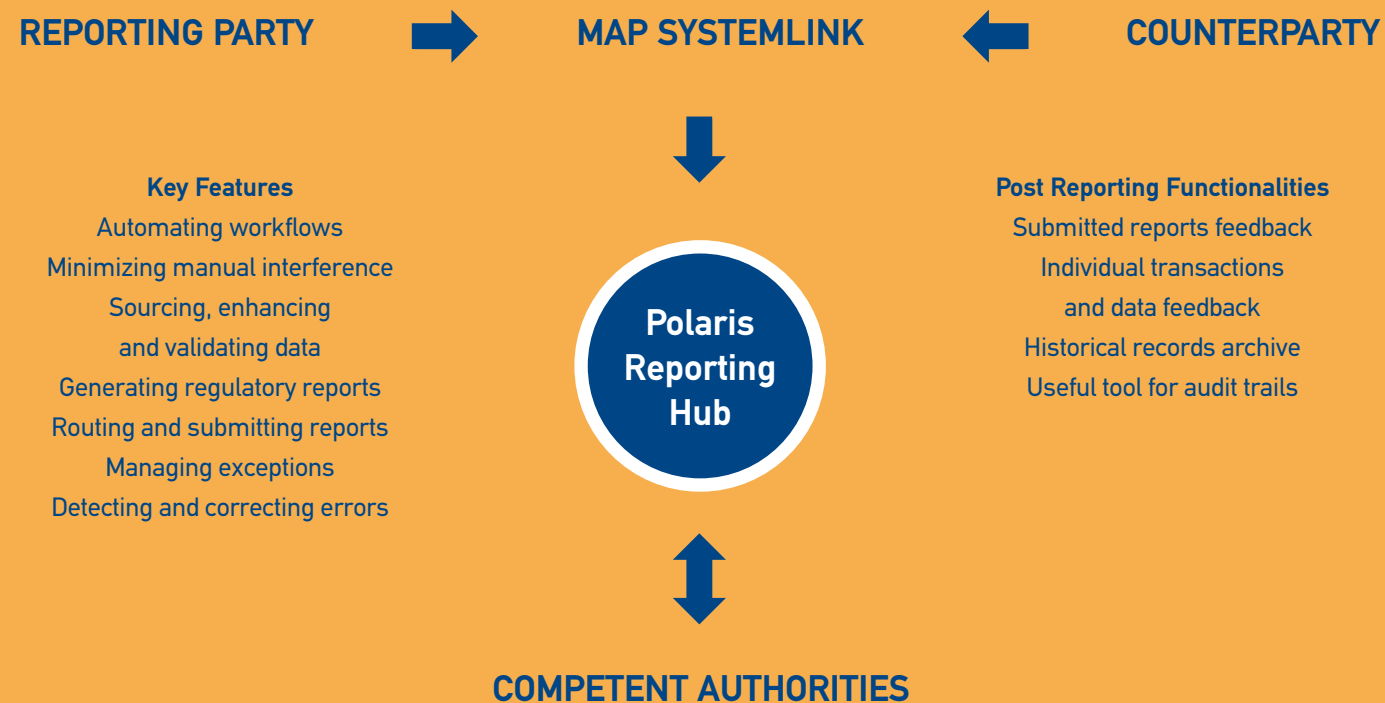
**6. Flexibility:** All operations of MAP FinTech are driven, managed and implemented in-house. No outsourced software developers, compliance, IT etc. This gives us the flexibility to adapt very efficiently to any sector changes/opportunities as well as to provide quality tailor-made solutions to our clients.

**7. Platform adaptability:** Over the years and based on our expertise and experience with regulatory reporting, we have evolved the Polaris platform (now at version 3) to a level that minimised far below industry averages implementation times for incorporating technically any new regulation or applying any regulation updates.

**8. Cost efficiency/scalability:** All operations of MAP FinTech were designed with efficiency and especially scalability in mind. This allows us to minimize the running costs and gives us the flexibility to provide quality services at very competitive prices for our clients, whilst growing our spectrum of services.

**9. Continuous research and development:** MAP FinTech, supported by MAP S.Platis Group, is continuously monitoring EU regulation and through its continuous research and development programme is able to develop any and all new reporting tools required, in a timely manner, to meet any future regulatory reporting needs of the EU financial services sector.

## OUR PLATFORM POLARIS REPORTING HUB



## The Polaris Reporting Hub

empowers our customers with ease of mind whilst allowing them to maintain complete control of the entire regulatory reporting process. From data sourcing to reporting and to feedback from the competent authorities for compliance purposes. Our solutions enable the required conversions, enhancements and re-formatting of the gathered data, in submission-adequate form.

Data is gathered automatically and routed through a thorough automated validation procedure that ensures reporting accuracy, minimizing the possibility of rejected submissions and time-consuming resubmissions.

Our Polaris Reporting Hub scalability features deliver unparalleled flexibility to quickly adapt to regulation updates and even new and evolving regulations. It is also able to adapt to changes across institutions, geographies and jurisdictions without systems re-engineering, therefore reducing implementation times and costs.

Finally, it offers a flexible and comprehensive regulatory reporting control tool (management, configuration, monitoring, analysis) for all of the client's current reporting needs (such as EMIR, MiFID, MiFIR, FATCA, CRS, etc.), but also any future ones, using one common user-friendly web interface.



## Polaris Features



### MAP-SystemLink

Our MAP-SystemLink Automation service is used for data sourcing, data transformation and loading of information, resulting in the final reports construction and submission to the relevant reporting institutions via our Polaris Reporting Hub and automates the whole process. Keeping up with the high standards of Polaris Reporting Hub, the MAP-SystemLink Automation service is being rigorously tested to ensure it is hassle-free and fast processing.

### Customisable Reports

Through a state of the art portal, the user may customise reports and statistics in any way that meets its particular needs. The Polaris portal provides the user with the exceptional flexibility to break down the reports by period, trade type (e.g. new, open, terminated), report type, feedback status (accepted/rejected), asset class, etc. In this way, the Polaris portal becomes a valuable in-house monitoring tool for users.



### MAP-Validation Service

Regulatory reporting requires a large range of data fields, significantly increasing the potential for discrepancies in submissions. The MAP-Validation Service identifies any discrepancies across the reporting cycle and enables users to utilise the comprehensive Polaris Reporting Hub workflow to investigate and resolve discrepancies. Data directly sent to routing mechanisms without utilizing our MAP-SystemLink service may be inconsistent. These routing mechanisms may be any Approved Reporting Mechanism (ARM), Trade Repository (TR), etc. The data held in routing mechanisms is the respective regulator's view of your business. Therefore, ensuring this information has been reported correctly is crucial.

### MAP-Reconciliation Service

Processing data across multiple systems, each in a format distinct to the counterparty, poses a particular reconciliation challenge for operations team. With the MAP-Reconciliation Service, you can monitor that any data or trade reported was successfully submitted to the competent authority, TR or ARM.

## Achieve Compliance with Cost Efficient Solutions

Latest technology, Multiple regimes





## MAP-EMIR Reporting Service

The MAP EMIR Reporting Service is designed to help tackle a multitude of challenges around UTI sharing, LEI generation/tagging and delegated reporting for EMIR compliance. Our MAP-EMIR Reporting Services has unrivalled participant connectivity with data mapping/enrichment and TR connectivity. The result is a comprehensive matching/reconciliation service for vendor-delegated and single-sided trade reporting.

### Key Features

- > Risk mitigation via comprehensive matching and reconciliation
- > UTI sharing, generation and management across all trading paradigms
- > LEI and trade detail enrichment from static data
- > Real-time reporting
- > Comprehensive field, data and entity mapping capability
- > Connectivity and support for multiple trade repositories on a cross-asset class basis
- > Single sided counterparty and vendor delegated reporting models

### Benefits

- > Lowering technology costs by eliminating the need to connect to multiple Trade Repositories
- > Integrated dashboard provides a holistic view of all reports across all participants and TRs
- > Single solution for all asset classes, across EMIR jurisdictions
- > Comprehensive reconciliation service allows participants to adopt delegated reporting
- > Management/generation/enrichment of UTI's/LEI's from static data

### Solutions Included

- > Setup – Throughout the implementation process, a team of specialists will provide training on extracting specific, relevant data as needed under EMIR regulation to ensure that key personnel understand both the regulation and the process
- > Support - 24/7 availability to answer any queries regarding the system and regulatory updates
- > Registration with various Trade Repositories
- > Tracking EMIR reporting on a daily basis, through the cutting edge Polaris portal



## MAP-MiFID, MiFID II/MiFIR Reporting Service

MiFID is the Markets in Financial Instruments Directive (Directive 2004/39/EC).

In force since November 2007, this directive governs the provision of investment services in financial instruments by banks and investment firms, as well as the operation of traditional stock exchanges and alternative trading venues.

While MiFID created competition between these services and brought additional choice and lower prices for investors, shortcomings were exposed in the wake of the 2008 financial crisis.

To overcome these shortcomings and broaden its scope, the European Commission updated the MiFID regime with the MiFID II Directive and MiFIR regulation, which entered into force in January 2018.

MAP FinTech has developed a solution to help clients comply with transaction and trade reporting requirements under both MiFID and MiFIDII/MiFIR regimes.

### Features

- > Fully automated service
- > Trades and transaction reporting from any system/database
- > Functionality to design, build and customize technical solutions to enable reporting
- > On-going communication with competent authorities to ensure system reports reflect regulatory updates
- > Trade reporting health checks
- > Consolidated data feeds
- > Regulatory Impact Analysis

### Benefits

- > Technology optimization
- > Program management
- > Change management
- > Comprehensive regulatory reporting IT infrastructure resulting in long-term cost efficiencies
- > One system for all reports
- > Pre-Submission Validations



## MAP-RTS 27/28 Reporting Service

**MAP-RTS 27/28** reporting refers to our service of mapping all required data to the format required by the Commission Delegated Regulation (EU) 2017/575 and 2017/576, producing the relevant report and making it available to the Customer through Polaris portal in a machine-readable electronic format.

**RTS 27** requires execution venues, market makers and systematic internalisers to publish reports with their transaction data. These reports must be published on a quarterly basis and include data for each trading day. Publication must be made in a machine readable format at the end of each quarter for the previous quarter.

**RTS 28** requires investment firms to publish annual information by 30 April each year, in a summary form of the quality of execution and disclosure of their top 5 execution venues.

### Features

- > Fully Automated Service
- > Retrieve information from any system/database
- > Consolidated data feeds
- > Comprehensive field, data and entity mapping capability
- > Recognition of information to be reported
- > Multiple reporting health checks
- > Efficient generation of all required RTS 27/28 tables
- > Flexibility to adapt efficiently to your customised needs
- > On-going communication with regulators to ensure system reports reflect regulatory updates/changes

### Benefits

- > Technology Optimization
- > Program Management
- > Change Management
- > Integrated dashboard provides a holistic view of all reports
- > Comprehensive regulatory reporting IT infrastructure resulting in long term cost efficiencies
- > Cost efficient integrated reporting solutions provided under a single platform

### Solution includes

- > Setup - A team of specialists will provide training on extracting specific, relevant data as needed
- > Dashboard access - Access to our Polaris Portal to control, manage and monitor the reporting
- > Training - RTS 27/28 training throughout the implementation process to ensure that key personnel understand the regulation and the process
- > Report generation - Automated generation of the RTS 27/28 tables
- > Consulting level Support – Answer any queries regarding the system and regulatory updates





## MAP-Best Execution Monitoring

MAP-Best Execution Monitoring service helps investment firms achieve extensive control and transparency over their order execution practices. As per Article 27 of MiFID II, investment firms should take “all sufficient steps to obtain, when executing an order, the best possible result for their clients taking into account price, costs, speed, likelihood of execution and settlement, size, nature or any other consideration relevant to the execution of the order.”

To achieve the above, investment firms, among others, should arrange for the setup of thorough monitoring systems for the continuous evaluation of the actual execution quality delivered to clients. MAP-Best Execution Monitoring service helps investment firms perform this onerous and time-consuming task in an automated, unique and efficient way.

### Features

- > Fully Automated Service
- > Web-based integrated dashboard providing a complete view of Best Execution monitoring analysis
- > Meeting regulatory requirements
- > Retrieve information from any system/database
- > Effective monitoring capabilities to ensure Best Execution:
  - reflecting all of the relevant quantitative and qualitative metrics (price, cost, speed, likelihood of execution, settlement, size, and nature of the trade)
  - based on adequate sample sizes
  - covering all relevant asset classes
- > Flexibility to adapt efficiently to your specific needs i.e. set up specific checks consistent with your Best Execution Policy and practices
- > On-going and regular monitoring for Best Execution (on-demand checks are also available)
- > Ad-hoc investigations for Best Execution of specific orders/transactions
- > Flagging Best Execution failures including automatic notification alerts
- > Recording and logging capabilities of all monitoring checks for future examination
- > On-going updates/changes to adapt regulatory changes and new practices/checks followed by regulators

### Benefits

- > Technology Optimization
- > Program Management
- > Change Management
- > Web-based integrated dashboard provides a holistic view of Best Execution analysis
- > Comprehensive regulatory monitoring/reporting IT infrastructure resulting in long term cost efficiencies
- > Cost efficient integrated monitoring/reporting solutions provided under a single platform

### Solution includes:

- > Setup – A team of specialists will provide guidance on extracting relevant data as needed
- > Dashboard access – Access to our Polaris dashboard
- > Systematic Best Execution Monitoring
- > Training – Best Execution monitoring training throughout the implementation process to ensure that key personnel understand the regulation and the process
- > Consulting level Support – Answer any queries regarding the system or any regulatory updates





## Additional Reporting Services



### MAP-CRS Reporting

The Common Reporting Standard (CRS) is a standard that was developed by the Organisation for Economic Co-operation and Development (OECD) with G20 countries and in close cooperation with the EU for the Automatic Exchange of Information (AEOI). CRS resulted in a significant increase in customer due diligence and reporting.

The MAP-CRS Reporting Service provides a user friendly approach to receiving, validating and submitting the relevant information required under the CRS reporting and due diligence rules.

### MAP-FATCA Reporting

Most financial institutions will need to proceed with enhanced due diligence procedures for customers on boarding systems to be FATCA compliant for new accounts, while launching a separate work stream to identify and analyse pre-existing accounts.

The MAP-FATCA Reporting Service provides the ability to receive data, construct the FATCA annual return and submit it to the relevant authorities, as per FATCA's relevant provisions.



## Worldwide Reporting Services

We can assist your regulatory reporting requirements across multiple worldwide jurisdictions.

## Innovative Regulatory Reporting Solutions

- ▶ **Robust** Best-in-class technology, services and insight with a relentless commitment to excellence, innovation and integrity
- ▶ **Stable** Our strong failover capabilities provides exceptionally high levels of availability and reliability worldwide
- ▶ **Secure** Our approach makes it easy to ensure that the right members of your team have exactly the right level of permissions to achieve their goals without compromising security
- ▶ **Compliant** MAP FinTech is a member of MAP S.Platis Group, which is a leading consultancy firm to financial services companies in the region and maintains one of the largest teams of financial services compliance experts in the EU



**Ensuring** Compliance with  
latest Regulatory Rules & Changes







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