



## Control Framework

- **For trade and transaction reporting governance**
- Complete regulatory governance structure tailored to your firm
- Policy documentation, guidance and training for compliance with regulators' expectations
- For MiFID II, EMIR, DFA and other G20 regimes.

### Key benefits

- **Peace of mind** – addresses issues identified for reporting breaches and in FCA fines
- **Expertise** – includes expert training and access to Kaizen's helpdesk and reporting wiki
- **Compliance** – meets regulatory requirements and expectations for MiFID II, EMIR, DFA and other G20 regimes
- **Protection** – protects both the financial institution and individuals with reporting oversight responsibility under the Senior Manager's Regime.

### Remove the risk of regulatory censure

Reporting errors are often a consequence of weak or incomplete control frameworks within financial institutions. Other major contributors are inadequate management information for governance committees and a lack of reporting expertise. MiFID II requires firms to have 'appropriate oversight arrangements in place to detect and remedy systemic problems'.

### A complete regulatory governance framework

Kaizen's control framework equips firms with a framework of supporting controls to promote the completeness, accuracy and timeliness of your regulatory reporting. The framework was designed by our CEO Dario Crispini, the former head of the FCA's Transaction Monitoring Unit and represents the leading thinking on reporting controls for both vanilla and more complex trading environments.

It covers governance, accountability, training and guidance for individuals involved in the reporting process and those responsible for regulatory oversight such as Senior Managers.

## What do you get?

- A reporting risk and accountability framework tailored to your firm
- All required policy and guidelines documentation
- Expertise and support from the Kaizen helpdesk and our online regulatory reporting wiki
- Training on reporting obligations delivered by Kaizen regulatory experts
- Quick deployment.

## ReportShield™

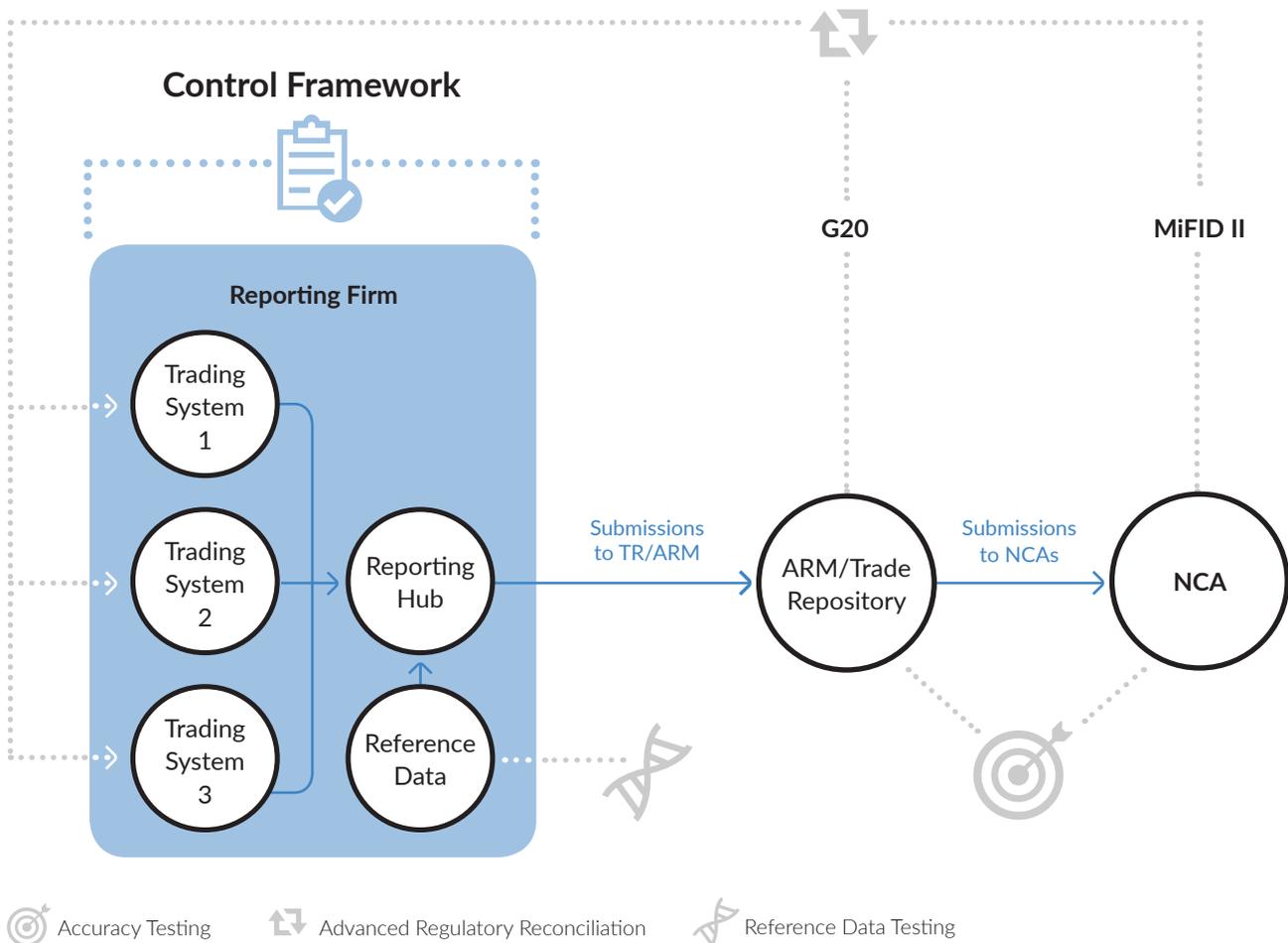


Data quality assurance  
for transaction reporting

## How is it delivered?

Our **control framework** works as a standalone service however we recommend it is deployed as part of our **ReportShield™ quality assurance service** which includes **accuracy testing, reference data testing** and **advanced reconciliation** services. Together they provide the robust controls necessary to meet regulators' expectations and promote high quality reporting.

## ReportShield™ quick reference



## About Kaizen Reporting

Kaizen Reporting is a specialist regulatory reporting assurance company. Founded by former regulator Dario Crispini, we've combined our deep knowledge of regulation with data science and analytics to develop ReportShield™, an award-winning suite of automated testing and controls that address the ever-growing challenges that regulations present. Whether it's MiFID II, EMIR, DFA, or another regulation, we can give you confidence and peace of mind in the quality of your regulatory reporting.

