



ReportShield™ for Dodd Frank reporting remediation

DFA

Under the Dodd Frank Act (DFA), firms are required to report all corrections of errors and omissions of trades as soon as technologically possible. This is true for Parts 43, 45 and 46 of DFA. Firms therefore need a procedure to detect errors and omissions and suitable controls to accurately report data to their swap data repository (SDR).

Kaizen's remediation service has you covered from detection to correction.

The service includes:

- ✓ Award-winning ReportShield™ quality assurance tools – for the detection of reporting errors
- ✓ Analysis and remediation expertise – to put the right controls and reporting processes in place.

Benefits of ReportShield™ for DFA remediation

Accuracy testing Advanced regulatory reconciliation



Reference data testing Control framework

- ✓ Simple and straightforward. All you need to do is supply a complete set of data. We do the rest!
- ✓ Delivers high level management reports and management information (MI) that can be used at a senior level and in-depth analysis to assist with root cause investigation
- ✓ Applies Kaizen's **reference data testing** to confirm correct US Person determination
- ✓ Utilises our **advanced reconciliation service** to independently apply reporting eligibility criteria including
 - Product exclusions
 - Tiebreak logic
 - No action letters considered
- ✓ Records paired between source system and SDR are tested using our award winning **accuracy testing** to guarantee data integrity between the two sources
- ✓ Kaizen creates the SDR submissions – you don't need to do this. Parts 43, 45 and 46 are covered.

How Kaizen can help

Kaizen applies remediation in a three-stage approach.

Stage I – Discovery

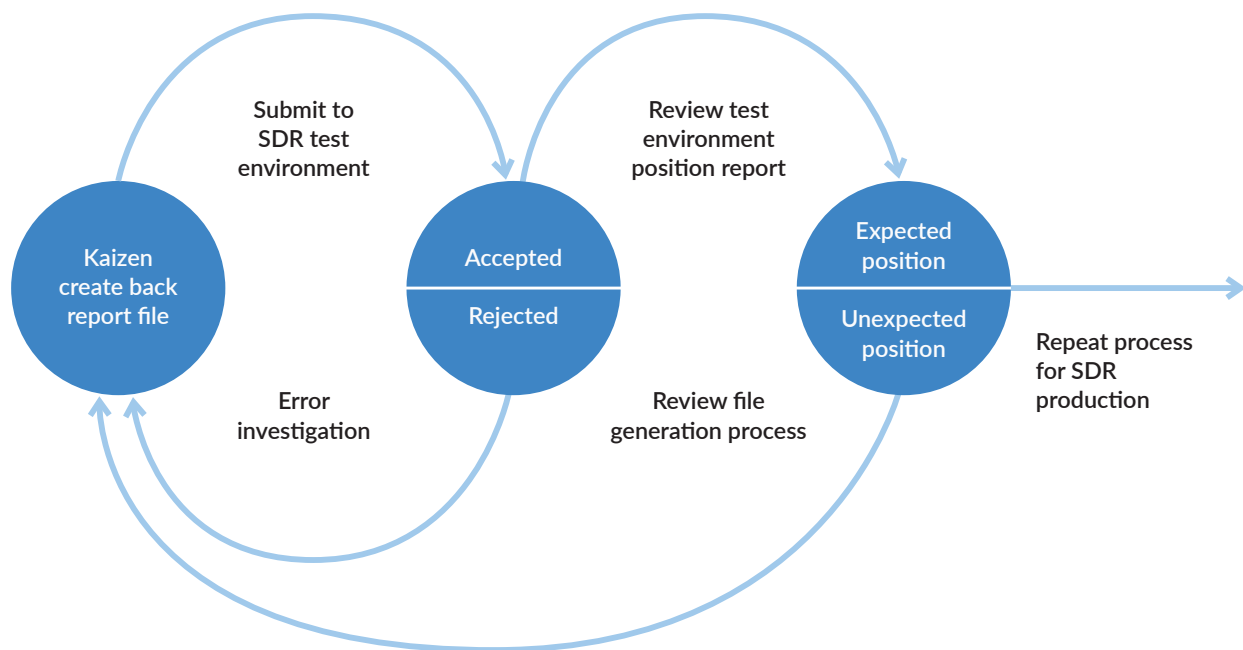
You provide all of your source system files to Kaizen. We learn about your current reporting processes and trading scenarios.

Stage II – Analysis

Using a combination of our ReportShield™ accuracy testing, advanced reconciliation service, and reference data testing, we can identify all under, over, correctly and incorrectly reported trades.

Stage III - Correction

Once testing and reconciliation is complete, we reformat your source system data into the format required by the SDR. Kaizen will check all the data with you to ensure you are confident with what is being reported to the regulator.



Contact us

To learn more about how we can help you with your DFA reporting remediation, please contact us.

sales@kaizenreporting.com

+44 (0)207 205 4090

www.kaizenreporting.com

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, SFTR or another regulation, we can give you confidence and peace of mind in the quality of your regulatory reporting.

