

ASIC Reporting

Simplify Australian Securities & Investments Commission (ASIC) reporting compliance across all asset classes and drive new business insights with LSEG's one-stop shop solution.

Today's ever-shifting regulatory landscape can be difficult to navigate, and keeping up with legislation is a huge challenge for many organisations. To reduce operational and systemic risk, OTC derivatives contracts must now be cleared through a central counterparty and reported to an authorised trade repository, which can be a complex undertaking for firms with reporting obligations in multiple jurisdictions.

The solution

Our one-stop shop allows you to fully comply with multiple regulatory reporting obligations, across all required asset classes and multiple regions. This includes the Derivative Transaction Rules (Reporting) 2013 mandated in Australia by ASIC for the monitoring and prevention of systemic risk.

This provides a centralised interface and streamlined connection to an authorised trade repository in the respective region, simplifying compliance with reporting obligations in multiple jurisdictions.

Key benefits

01.

Fulfil multiple regulatory reporting obligations through a single interface:

- Simplify compliance with reporting requirements in Australia, Hong Kong, Israel, Singapore and Switzerland
- Avoid the need for multiple connections
- One UI for daily exception management across reporting regimes

02.

Access LSEG data and analytics:

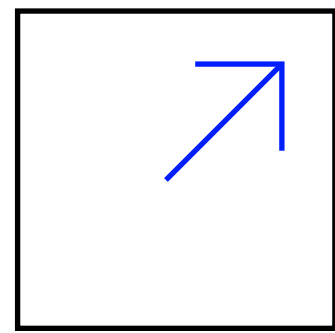
- Improve control risk
- Strengthen data accuracy
- Drive new insights for optimising risk management

03.

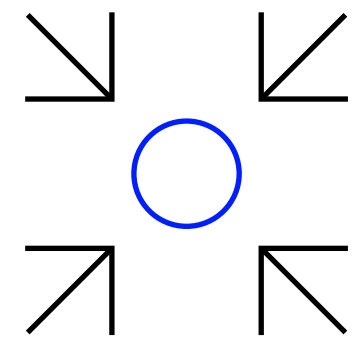
Automate your compliance workflows:

- Increase efficiency and accuracy with end-to-end automated connectivity
- Perform core tasks, including submission, validation and exception management
- Access key management information

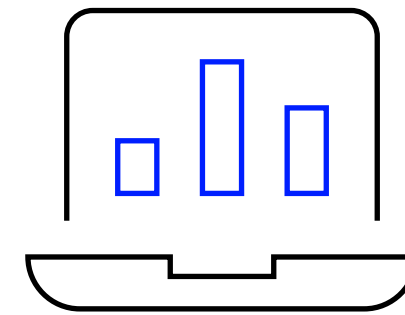
Features



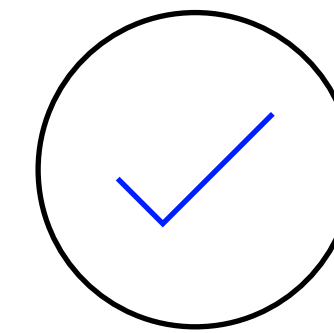
Scalable, flexible, intuitive system acts as a routing conduit to a licenced trade repository



Tools for creating and preparing transaction reports as well as customised outputs

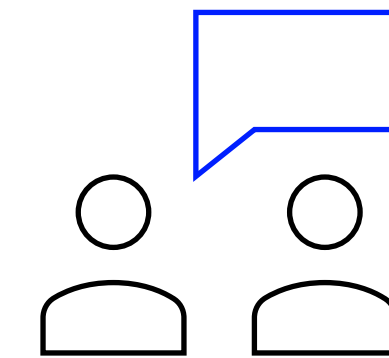


Smooth automation of daily transaction reports to DTCC GTR, with validation responses passed back



Multiple automated and manual submission methods supported, with flexible onboarding options

(standard format or Rules Engine for raw source data mapping)



LSEG-hosted industry working groups to educate and inform, and provide regulator feedback, regulation updates and validations

Features

Single Interface to manage multiple global regulations

Intuitive visibility and transparency over the full exception management lifecycle

The screenshot shows a software interface with a left-hand navigation pane and a main data table. The navigation pane is organized into sections: 'Navigation Settings', 'BoI Reporting', and 'FINFRAG Reporting'. The 'FINFRAG Reporting' section is expanded, showing sub-items like 'File Summary', 'Late Reports', 'Cleared Exceptions', 'All Transactions', 'Archive', 'Drilldowns', 'LEI Reporting Firm ID Control', and 'Exception Management'. The main area displays a table with columns for 'Record Status', 'Action', 'Message Type', 'Transaction Ty...', 'Lifecycle Ev...', 'Number of Optio...', 'Option Style', and 'Primary Asset Class'. The table contains rows of data, with some rows highlighted in blue and others in light green. A blue arrow points from the text 'Intuitive visibility and transparency over the full exception management lifecycle' to the 'FINFRAG Reporting' section in the navigation pane. Another blue arrow points from the text 'Summarize view of data processing' to a row in the table. A third blue arrow points from the text 'Unique views allow users to identify quickly errors and inconsistency in their reporting process' to the 'LEI Reporting Firm ID Control' item in the navigation pane.

Summarize view of data processing

Unique views allow users to identify quickly errors and inconsistency in their reporting process

Why chose us?

With years of industry expertise and trusted data accuracy, LSEG Post Trade simplifies compliance with regulations in jurisdictions globally and delivers insights that allows firms to turn regulation into an opportunity. Our experts partner with leading organisations to advise on the latest regulations and products, and upskill their teams.

For more information, please contact our sales team or visit our website.



LSEG POST
TRADE

Find out more

Email RegReportingsales@lseg.com

Phone UK: +44 (020) 7797 1214 | US: +1 (212) 314 1192

Visit www.lseg.com/en/post-trade/regulatory-reporting

Disclaimer

This document has been provided to you for informational purposes only and is intended as an overview of certain aspects of, or proposed changes to, the SwapClear, Listed Interest Rates, SwapAgent and/or any other service provided by LCH Group Holdings Limited ("LCH Group") or any of its group undertakings (group undertakings shall be construed in accordance with section 1161 of the Companies Act 2006; each an "LCH Group Company").

LCH Limited is supervised by the Bank of England within the UK regulatory framework, registered as a derivatives clearing organisation with the U.S. Commodity Futures Trading Commission ("CFTC") and recognised as a third-country CCP under Regulation (EU) No. 648/2012 of the European Parliament and of the Council of 4 July 2012 on OTC derivatives, central counterparties and trade repositories ("EMIR"). LCH S.A. is regulated and supervised in France by the Autorité des Marchés Financiers, the Autorité de Contrôle Prudentiel et de Résolution and the Banque de France, authorised as an E.U. CCP under EMIR, registered as a derivatives clearing organisation with the CFTC and as a clearing agency with the U.S. Securities and Exchange Commission. LCH Limited and LCH S.A. also hold licenses or authorisations in other jurisdictions in which they offer their services. More information is available at www.lch.com.

The relationship of an LCH Group Company with its members is governed solely by its rulebook and certain other ancillary documentation, as applicable. This document does not, and does not purport to, contain a detailed description of any aspect of a service provided by an LCH Group Company or any other topics discussed in this document, and it has not been prepared for any specific person. This document does not, and does not seek to, constitute advice of any nature. You may not rely upon the contents of this document under any circumstance and should seek your own independent legal, investment, tax and other advice. The information and any opinion contained in this document does not constitute a recommendation or offer with respect to any derivative contract, financial instrument, security or service. No LCH Group Company makes any representation, warranty, condition or guarantee (whether express or implied) that the contents of this document are accurate, complete or up-to-date, and makes no commitment to offer any particular product or service. No LCH Group Company shall have any liability for any losses, claims, demands, actions, proceedings, damages, costs or expenses arising out of, or in any way connected with, the information contained in this document, except that each LCH Group Company accepts liability that cannot be excluded by applicable law.

Copyright © LCH Limited 2023. All rights reserved. Copyright © LCH S.A. 2023. All rights reserved. LCH SwapClear, LCH CDSClear, LCH ForexClear, LCH RepoClear, LCH EquityClear, LCH SwapAgent and €GCPlus are registered trademarks of LCH.