

Insider Information Management Checklist

Are you managing insider lists the right way?



Do you have clear, written procedures for receiving and sharing inside information (e.g., market soundings)?



Are you maintaining up-to-date insider lists, including event-based insiders and permanent insiders that include the who, what, why and when of inside information?



Can you record and evidence when inside information ceases to be such?



Are you consistently updating your watch and restricted lists when inside information is received?



Are you monitoring the sharing of inside information in advance of employee trades, firm/client trades and investment deals?



Do you capture instances of ad hoc or accidental receipt of insider information?



Can you cross-reference your insider lists against a reliable database of securities and company information to determine if an insider is misusing the information they have received?



Are you able to generate audit-ready insider lists reports for regulators, auditors, and your board at any time, in the format they require?



Managing insider information isn't just a best practice - it's a regulatory requirement. If you can't answer 'yes' to every question on this checklist, your firm may be exposed to compliance risks. MCO helps you close the gaps and stay audit-ready.

Ready to learn more?