

Insider List and MNPI Management

Know Your Transactions (KYT®)

Manage Access to Sensitive Information Across the Firm

If material non-public information (MNPI) including strategic plans, capital investments, acquisitions or contract decisions gets into the wrong hands, there's risk that individuals can misuse the data for personal gain.

Implementing safeguards to mitigate this risk is critical to meeting stringent regulatory expectations and protecting the firm's reputation and bottom line.

MCO's Insider List and MNPI Management solution enables firms to take a proactive approach to managing the flow of restricted information by tracking access and identifying potential conflicts of interest. Insider List and MNPI Management allows firms to:



Monitor the sharing of MNPI in advance of trading and investment deals



Generate reports for regulators, auditors and the board



Create lists including event insiders, permanent insiders, access persons and restrictions



Speed up the new business process



Update employee and firm restricted lists for trade surveillance and conflict of interest identification



Reduce the risk of insider trading, market abuse and market manipulation

MNPI and Insider List Manager maintains data to track exposure to sensitive information and prove regulatory compliance, including:

- ✓ The list of all persons receiving inside information
- ✓ Date/time of planned information sharing, such as market soundings
- ✓ The list of any investors who might refuse MNPI sharing or soundings
- ✓ The facts relevant to the assessment if/when inside information ceases to be such
- ✓ The discloser's written procedures related to the sharing of MNPI

Insider List and MNPI Management enables firms to surface potential conflicts of interest and mitigate the risk of insider trading by tracking and cataloging MNPI and associated insider lists related to potential deals.

- ✔ Create and manage insider lists in a matter of minutes.
- ✔ Develop insider lists with criteria including roles, rights, assignments, access timeframes and more
- ✔ Allow for the capture of ad hoc or accidental receipt of MNPI
- ✔ Cross-reference a hierarchical database of securities listings and company information on tens of thousands of entities
- ✔ Capture summaries of data

Part of a Complete Transactional Surveillance Solution

MCO's MNPI and Insider List solution is part of the Know Your Transactions (KYT®) suite, an integrated solution that enables firms to monitor risks that can originate from transactions in their financial products including trades and holdings, investment banking transactions, payments, and ongoing banking transactions.

Integrated Compliance Management

Know Your Transactions is part of the MyComplianceOffice integrated platform that automates compliance programs for supply chain and third-party operations (Know Your Third Party® KYTP®), employee compliance (Know Your Employee KYE®) and compliance oversight (Know Your Obligations® KYO). These interconnected suites with a centralized data center cost-effectively and comprehensively minimize the risk of misconduct and conflicts of interest while providing evidence of regulatory compliance.

With offices and support across the United States, Europe and Asia-Pacific, MCO helps firms of all sizes ensure compliance and meet evolving regulatory efficiently and effectively.

Contact MCO today to find out how we can help your organization meet evolving regulatory needs and ensure compliance oversight quickly and affordably.

MCO (MyComplianceOffice)® provides compliance management software that enables companies around the world to reduce their risk of misconduct and effectively oversee regulatory obligations.

Our powerful platform lets compliance professionals demonstrate they are proactively managing the regulated activities of the company, employees and third-party vendors and provide evidence of regulatory compliance. Available as a unified suite or à la carte, our easy-to-use and extensible SaaS-based solutions get firms up and running quickly and cost-efficiently.

