

Regulatory Reporting Services

# Turn data into trust

Transform your regulatory  
reporting with NTT DATA





## Making regulatory reporting a strategic advantage

Our goal is to turn your regulatory reporting into a strategic advantage, ensuring compliance and operational excellence.

The regulatory landscape is continuously evolving, with significant changes expected in the near future. Financial institutions face increasing pressure to comply with new and complex regulations, which can impact their operations, data management and reporting processes.

“NTT DATA helps financial institutions navigate the complex regulatory landscape with confidence and efficiency.”

## Staying ahead of regulatory changes

We keep you informed and prepared for key regulatory trends and changes in the financial industry:

### Enhanced trade reporting



Regulations like the European Securities and Markets Authority's (ESMA) Trade Reporting Requirements under the Markets in Financial Instruments Directive II (MiFID II) are imposing stricter standards for trade reporting to ensure greater transparency and accuracy.

### Stricter data accuracy



The Financial Conduct Authority (FCA) in the UK is setting higher standards for data accuracy and completeness, with the Senior Managers and Certification Regime (SMCR) mandating detailed reporting of senior management functions.

### Strengthened reporting requirements



The Basel Committee on Banking Supervision's (BCBS) Basel III reforms are expanding data fields and demanding more granular reporting to improve risk management and capital adequacy.

### ISO 2002 XML reporting



The industry is moving toward ISO 2002 XML reporting, driven by institutions like the European Central Bank (ECB). This requires updates to data formats and processes for compliance and interoperability.

### Field-level validations



The Securities Financing Transactions Regulation (SFTR) in the EU is implementing field-level validations and data harmonization, ensuring unique transaction identifiers (UTIs) and unique product identifiers (UPIs) align with global standards for consistent and reliable financial data.

## Meet requirements and monitor updates

Leveraging our deep expertise, proven frameworks and accelerators, we help you meet specific regulatory requirements and monitor updates to existing rules. We also design custom data processes to ensure readiness for regulatory changes, providing executives with actionable insights and equipping them to address agency demands effectively.



## Solutions for the full spectrum of regulatory reporting

### Regulatory supervision and reporting

- **Impact assessment and preparation**

We work with you to evaluate and prepare for the impact of regulatory reporting requirements on your organization. We can also help you handle reporting needs during restructuring, corporate actions and mergers and acquisitions.

With our in-depth knowledge of and expertise in over-the-counter (OTC) derivatives and financial products, we can help you understand the reporting scope of these instruments.

- **Support across the board**

We offer support for lifecycle reporting in ISO 20022 XML format and for UTI pairing and UPI enrichment. Our services also support various platforms and input file formats, such as CSV and XML, to ensure business continuity.

We can help you validate reports with various trade repositories for accuracy, and set up workflows and processes to correct and replay internal and trade repository rejections within the reporting timeframe.

### Data management

We have the systems and expertise to facilitate:

- Data mapping and regulation-specific validations for accuracy
- Enhancing and enriching data to meet regulatory requirements
- Ensuring data is secure and compliant with privacy regulations
- Maintaining and updating static customer data

### Operational resilience

Our solutions ensure operational resilience through real-time monitoring and intuitive dashboards, providing daily oversight. We implement robust risk governance and control measures to safeguard your business, helping you navigate complex regulatory landscapes and maintain compliance.

### Additional services

We fast-track transformation with our proprietary platforms, frameworks and accelerators. Our managed services oversee, administer and address IT systems and operations to achieve operational efficiency and cost savings. Leveraging strong technology expertise and innovative investments, including GenAI and robotic process automation (RPA), we streamline operations.

Additionally, we deploy AI tools to optimize business strategies and innovate offerings, using advanced data analytics and machine learning (ML) to personalize customer experiences and improve engagement.



## How we deliver

Our approach combines deep expertise, innovative solutions and a robust partner ecosystem.

### CoE and partner ecosystem driven roadmap

We stay ahead of the curve by proactively monitoring upcoming regulations, keeping you informed and ready for any changes. Our team collaborates with you to define the business case and budget for compliance initiatives, ensuring they align perfectly with your strategic goals.

Additionally, we offer a clear and detailed roadmap for both business and IT compliance, guiding you through a structured and efficient implementation process.

### Intellectual property (IP)-led application services and support

We offer end-to-end application services, from development and enhancement to testing and ongoing support, all tailored to your compliance needs.

### Tailored solutions and insights

Our team of over 100 experts, with a deep understanding and over 25 years of experience in regulatory reporting, specifically in banking and financial services, ensures that we can provide tailored solutions and insights to meet your unique challenges.

## Why NTT DATA

- **Proven expertise**

We have over 25 years of experience in managing regulatory reports for major financial authorities, including the Monetary Authority of Singapore (MAS), Japan Financial Services Agency (JFSA) and Australian Securities and Investments Commission (ASIC). Our proven frameworks and specialized knowledge in capital markets help you enhance transparency and provide actionable insights.

- **Global presence, locally relevant solutions**

Our strong presence in APAC, America and EMEA is supported by comprehensive IT and compliance solutions. NTT DATA's advanced analytics, reporting tools and automation will help you streamline processes and reduce costs.

“End-to-end services, continuous training and proactive regulatory monitoring ensure compliance and operational excellence.”

## Partner with us to achieve excellence in regulatory reporting

We are committed to helping financial institutions navigate the complex landscape of regulatory reporting. Our comprehensive solutions, combined with our deep industry expertise, ensure that your organization remains compliant, agile and ready to capitalize on new opportunities. We help financial institutions stay ahead of evolving regulations, minimize risk and maintain high standards of data integrity and reporting quality.

**Contact NTT DATA or reach out to our sales team for a personalized consultation.**

Visit [nttdata.com](https://nttdata.com) to learn more.

NTT DATA is a trusted global innovator of business and technology services, helping clients innovate, optimize and transform for success. As a Global Top Employer, we have experts in more than 50 countries and a robust partner ecosystem. NTT DATA is part of NTT Group.

