# MAR Compliance Overview

For compliance teams

**FEATURE** 

DETAIL

TIM Group has extended the TIM platform to meet the requirements of the new Market Abuse Regulation (MAR) that came into effect on 3rd July 2016. TIM customers can use the solution for equities investment recommendations without charge.

We also offer solutions for other asset classes including bonds and commodities. Contact us today to learn more about our MAR Compliance solutions and to start the implementation process.

### A Shifting Landscape

TIM Group has been in the business of capturing and distributing investment recommendations since 2004. Over 300 broker firms and 250 investment management firms use the service worldwide, including every bulge bracket firm and many of the world's largest investment managers.

When the European Securities and Markets Authority published draft standards for disclosure of investment recommendations and conflicts of interest in September 2015, TIM Group was quick to adapt its offering to ensure our clients are compliant with the new regulations. These new regulations require that all salespeople and sales traders disclose the 12-month history of every investment recommendation they have made to every client via any medium (voice, chat, email, TV, etc.). The regulations also introduce new requirements for the disclosure of personal and company conflicts of interest.

The new requirements for investment recommendations are so similar in nature to trade ideas that with a few adjustments TIM is perfectly positioned to help our clients meet the requirements.

What are you recommend	What are you recommending?					How did/will you communicate the recommendation?		
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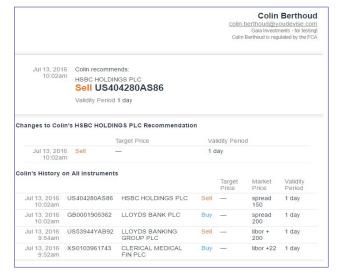
### **A Comprehensive Approach**

TIM Group has been guided in the development of its MAR Compliance solution by a working group comprising 30 brokers who took an early interest in the regulation. Our solution has also been informed by discussions with the Association for Financial Markets in Europe, and the Financial Conduct Authority.

Brokers can take advantage of TIM MAR features in one of two ways:

- Upload option: Capture recommendations and upload them to a broker's disclosure site
- Disclosure option: Capture recommendations and display contributor's history on the TIM disclosure site

To support the Upload option, we have developed an API that transfers ideas to a broker's disclosure site as recommendations are entered. To support the Disclosure option we have developed a secure disclosure site that displays the recommendation history required under the MAR regulation, and limits access to the authorised client.



Full details of the regulation as endorsed by the European Commission can be found here: <u>http://ec.europa.eu/transparency/regdoc/rep/3/2016/EN/3-2016-1403-EN-F1-1.PDF</u>

Please contact your TIM Group representative for more information or write to us at compliance@timgroup.com.

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