



KOR

Personnel Qualifications | Version 1.0

Policy

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1.0 Personnel Qualifications

A description of KOR SDR's senior staff and their responsibilities are defined in the exhibit: "[Organizational Structure](#)." The CEO, in conjunction with the hiring manager are responsible, at the time of hiring, for reviewing qualifications for current applicability on a case-by-case basis.

2.0 KOR SDR Job Descriptions

2.1 Chief Executive Officer ("CEO")

The KOR SDR CEO is the senior executive responsible for managing all functions and the overall success business of the SDR. The KOR SDR CEO will be part of and accountable for all strategic decisions, work with leadership on tactical plans, and analyze risks to ensure that the necessary steps are taken to minimize such risks.

2.2 Chief Compliance Officer ("CCO")

The KOR SDR CCO will administer and monitor compliance for KOR SDR and will report to the Board of Directors for KOR Reporting Inc ("the Board") and the CEO on at least a quarterly basis regarding compliance. With respect to all SDR-related matters for which the KOR SDR CCO believes he or she needs supervisory direction, including conflicts of interest matters, the KOR SDR CCO shall obtain such direction from the CEO or the Board.

The KOR SDR CCO will, among other things, respond to CFTC requests and inquiries and will oversee the process of providing access to KOR SDR systems to domestic and foreign regulators. The KOR SDR CCO will establish product requirements for KOR SDR systems. These tasks will include, among other things, reviews of the validation and reports requirements. The CCO will also participate in system development initiatives for the implementation of features in support of CFTC SDR reporting rules, specifications, and guidelines.

The CCO shall always adhere to the duties and requirements as outlined in the KOR Compliance Manual section "[Chief Compliance Officer](#)."

2.3 Chief Technology Officer ("CTO")

The KOR SDR CTO is responsible for the company's strategy for using technological resources, and to ensure that technologies used are efficient, secure, and effective in meeting KOR SDRs regulatory duties and clients' needs. The CTO will be responsible for and manage all technical functions of KOR SDR including design, development, testing, infrastructure, and security.

2.4 Head of Commercial, Client Services, and Operations

The KOR SDR Head of Commercial, Client Services, and Operations is responsible for sales, marketing, client support and business operations. This role covers the end-to-end experience by KOR SDR Clients and all support functions and activities.

2.5 Appendix A: Exhibits

Regulator	Exhibit	Exhibit Description
CFTC	U	Exhibit U, a description of the personnel qualifications for each category of professional employees employed by the swap data repository or the division, subdivision, or other segregable entity within the swap data repository as described in Item 16.
SEC	P	Attach as Exhibit P a description of the personnel qualifications for each category of professional, non-professional, and supervisory employees employed by the applicant or the division, subdivision, or other segregable entity within the applicant as described in item 19.