

RISK AND COMPLIANCE

PROTEGENT OVERVIEW BROCHURE



The Onslaught Of Regulatory Change Is Bringing Compliance To The Forefront.

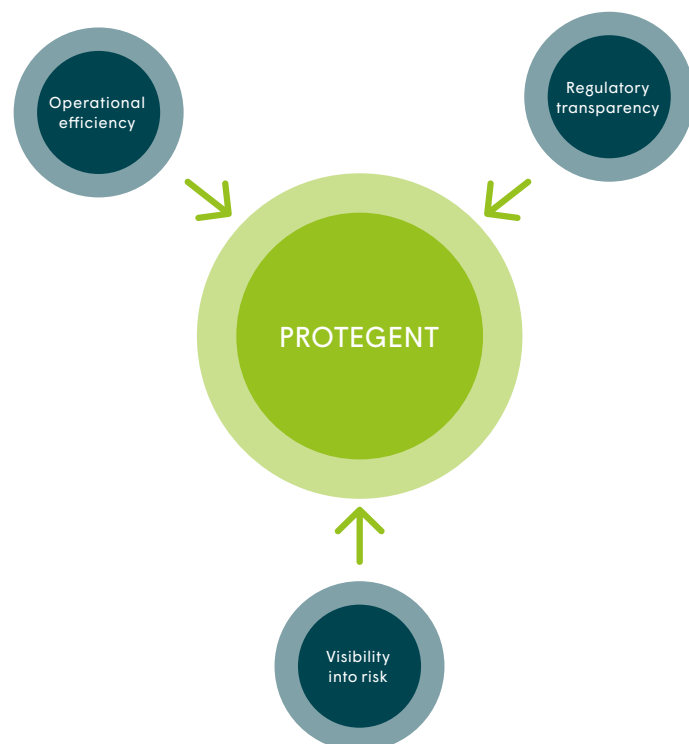
Dodd-Frank, EMIR, Basel III, MAD II, MiFID II, the Consolidated Audit Trail (CAT) – the list is endless. Financial Services firms have to manage vast disparate sets of data and processes in order to comply with regulations wherever they operate around the world.in alternative assets.

It's difficult to gain oversight of all compliance risk – or the consequences.

Today's compliance officers must spend more and more time educating themselves about the latest proposals and rules, ensuring that they map them to the business practices of the firm and update their risk-based compliance analysis, often against very tight deadlines.

Our approach

FIS' Protegent suite of solutions provides firms greater visibility into potential compliance risk factors while increasing operational efficiency and regulatory transparency.



FIS' Protegent suite of solutions can help you:

- Identify patterns of trading behavior across multiple asset classes and across markets that may indicate market manipulation or illegal insider trading before they can compromise the firm's reputation.
- Administer and automate gifts and hospitality, certifications and attestations via a staff facing compliance dash board.
- Administer and automate the entire staff personal trading process including restricted list management to ensure that conflicts of interests are managed appropriately.
- Streamline initial and ongoing customer due diligence, suitability and appropriates checks, addressing MiFID II requirements and anti-money laundering processes.
- Expedite the opening of new brokerage and non-brokerage accounts.
- Establish policies to help you use social media for customer communication.
- Gain an oversight of, manage and mitigate conflicts between lines of business.
- Keep staff up-to-date with changes in the regulatory environment.
- Ensure USA required trade monitoring compliance with regulatory requirements such as Reg NMS, OATS and OTS reporting.

By utilizing one trusted partner, thereby achieving oversight and overview, you can efficiently monitor and take appropriate actions to mitigate compliance risk and lower your total cost of ownership.

Protegent's suite of solutions includes:

Protegent Compliance Platform: allows you to implement systematic appropriateness and suitability checks on all client transactions and across each sales / account manager, ensuring early detection of any inappropriate sales practices and potential miss selling. In addition, the platform detects any potential client account fraud and money laundry. You can save time and money while giving your compliance teams a technology package that can scale as your business grows.

Protegent Personal Trading Assistant (PTA): automates compliance with personal trading firm policies and insider trading detection, conflicts of interest management, and general staff attestations and disclosures including gifts and hospitality work flows and reporting. A browser-based application, Protegent PTA spans all areas of personal trading, from pre-clearance authorization through posttrade reconciliation and reporting, to help ensure comprehensive, documented compliance for firms that are subject to personal trading regulations and mandates. In addition, the tool supports approval and monitoring work flows for gifts and hospitality and meets the FCA's stringent requirements on reporting and monitoring of accumulated values per entity and manager.

Protegent Surveillance: helps you mitigate reputational, internal and regulatory risk. You can detect suspicious trading activity and address supervision appropriateness and suitability requirements. The solution also helps you identify questionable transactions and high risk positions, streamline review processes, support audits, and respond to regulatory and legal inquiries quickly.

Protegent Market Abuse: supports compliance organisations monitor for potential insider trading and market manipulation across firm, portfolio, trader or algo, and client trading. Protegent Market Abuse provides a rich rules library which is updated in step with evolving regulation, rich analytical tools, case management and an audit trail of all analysis and investigations easing the burden of audits. Combines the benefits of a comprehensive, off-the-shelf solution with the flexibility of a custom-built solution. It delivers an extensive out-of-the-box rule library that is built upon years of industry experience. Compliance users who are closest to the issues can fine tune the application to meet their changing needs.

Protegent Social Media: helps you mitigate reputational, internal and regulatory risk, monitor and archive activity and content posted to social networking sites such as Facebook, LinkedIn and Twitter, and corporate web pages with no exception for the device used to make the posts.

Protegent Trading Compliance: is a multi asset web based surveillance application designed to alert sell-side firms of potential violations occurring in the marketplace, assist in supervisory controls and support management reporting. This is accomplished by providing a complete view into an order's life cycle, through an alert-driven solution supported by comprehensive Market Data and Client Data Warehouses. Consequently, Daily reviews, post trade analysis, RegNMS compliance, general trading compliance and supervision become more efficient.



About Protegent

FIS' Protegent is a suite of solutions that help automate financial institutions' compliance processes. It helps give financial institutions transparency into their data while helping them to enforce and document their compliance policies and procedures. Protegent's solutions cover social media review, personal trading oversight, market abuse, Reg NMS, Order Audit Trail System (OATS), and transaction supervision and surveillance review. For more information, please visit www.fisglobal.com/protegent

About FIS

FIS is a global leader in financial services technology, with a focus on retail and institutional banking, payments, asset and wealth management, risk and compliance, consulting and outsourcing solutions. Through the depth and breadth of our solutions portfolio, global capabilities and domain expertise, FIS serves more than 20,000 clients in over 130 countries. Headquartered in Jacksonville, Florida, FIS employs more than 55,000 people worldwide and holds leadership positions in payment processing, financial software and banking solutions. Providing software, services and outsourcing of the technology that empowers the financial world, FIS is a Fortune 500 company and is a member of Standard & Poor's 500® Index. For more information about FIS, visit www.fisglobal.com



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