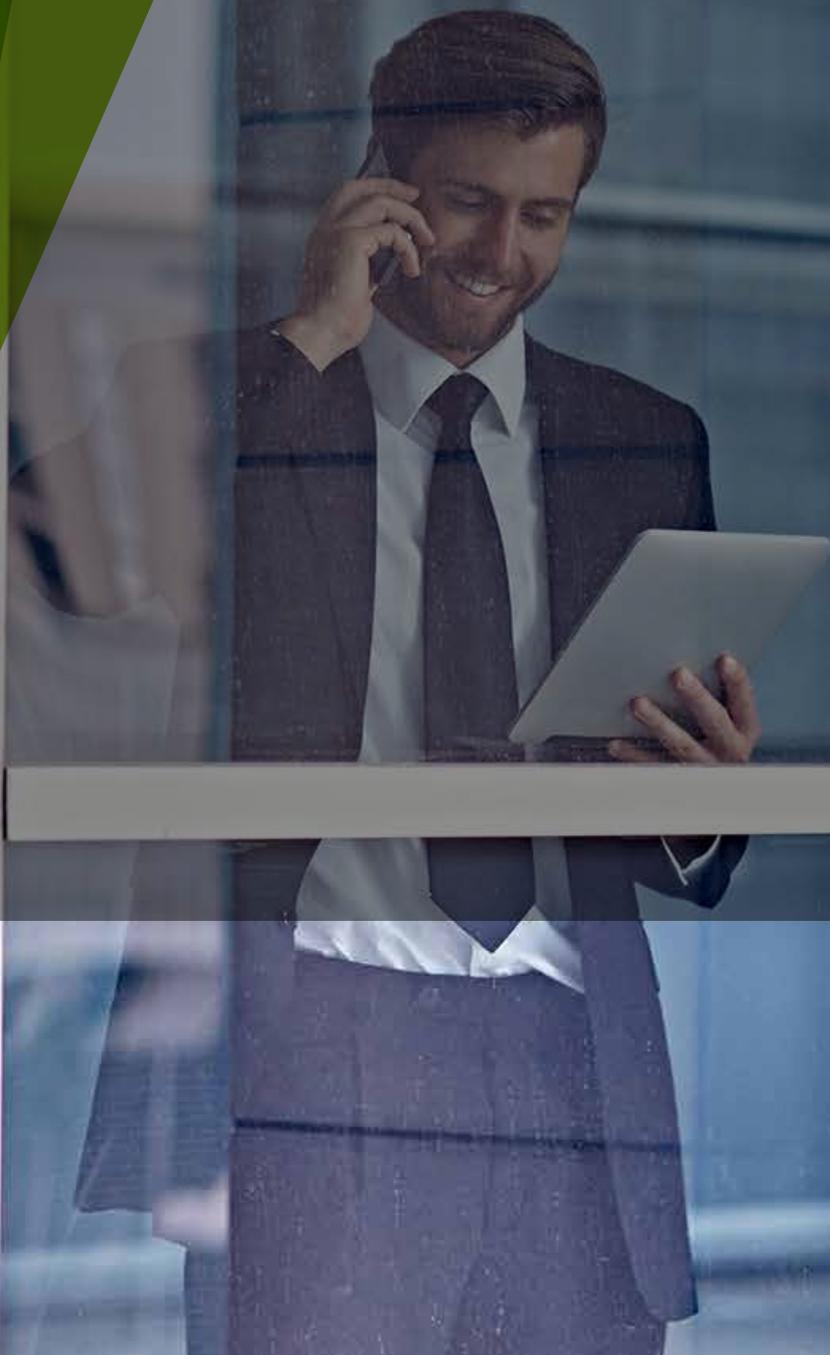


PROTEGENT TRADING COMPLIANCE



Empowering the Financial World
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FIS

Protegent Trading Compliance is a web-based surveillance application designed to alert users of potential violations occurring in the marketplace, assist in supervisory controls and support management reporting.

Risk and compliance

Protegent Trading Compliance

In today's increasingly complex regulatory environment, firms must maintain the highest of standards in their approach to compliance obligations. Unfortunately, the rate of regulatory and market structure changes the ability to effectively manage the compliance process as it becomes more complicated.

FIS 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.

Users can holistically monitor and manage Equities, Options and Futures trading while providing superior support for timely responses to audits and regulatory inquiries.

The proactive supervisory system further empowers users to mitigate reputational risk and maintain focus on profitability.

Mitigate risk and maintain profitability focus

Protegent Trading Compliance is an intraday surveillance and analysis system designed to alert users of potential violations occurring in the market, as impacted by regulatory changes, and report improper trade activities in accordance with trade modifiers and Riskless Principal Transactions. This functionality, powered with a proactive supervisory system, helps firms mitigate reputational risk and maintain focus on profitability.

Web-based, hosted delivery

Protegent Trading Compliance is a web-based platform hosted in the FIS data centers. The comprehensive data warehouse alleviates the need for firms to calculate execution quality data, as well as, incur storage cost from the mounting volumes of market data in this Regulation NMS environment.

OMS independent

Protegent Trading Compliance can be used with in-house, third party trading, or order management systems. Data can be received by Protegent Trading Compliance throughout the day.

Permission-based

By limiting access, firms can maintain control over who accesses information or reports, allowing sensitive information to be maintained in a secure environment. Additionally, the Ad Hoc reporting feature offers the user the ability to custom tailor analytical reports based on user rights.



Compliance Workflow

Surveillance

With Protegent Trading Compliance's surveillance functionality, institutional firms can monitor transactions to help detect potential compliance violations. Business rules trigger alerts when problems occur in areas including:

- Reg NMS suite of surveillances
- Reg SHO suite of surveillances
- Limit Order Protection
- Limit Up/Limit Down
- TRF Surveillances
- One percent Reporting
- Large Trader ID
- Market Manipulation
 - Wash Sales
 - Spoofing
 - Front Running
 - Marking the Open
 - Marking the Close
 - Trading Ahead of News
 - Pump/Dump
 - Low Volume Securities
 - Self Trade
 - Capping/Pegging
- Best Execution Surveillances & Analytics
- OATS XRay Surveillance

Transaction Cost Analysis

As the ability to achieve superior execution quality, while controlling costs, becomes essential in today's trading environment, Protegent's TCA tool helps businesses grow by providing:

- A thorough analysis of costs, relative to orders and executions, to help save money in routing decisions.
- Comprehensive views into customers, traders and stock by stock profitability.

- A unique ability to overlay Costs with Execution Quality metrics, for optimal routing with consideration to Best Execution obligations.
- Tailored services and analysis to enable users to take action on anomalies.
- Innovative intra-month Best Execution reviews for insight into execution quality outliers, costly routing decisions and benchmark evaluations.

Comprehensive documentation

With Protegent Trading Compliance, an automatic record of every update is created to provide a complete audit trail. When an issue is discovered, users have the ability to document supporting steps taken to address the problem.

Internal investigation

Protegent Trading Compliance's internal investigation capabilities help firms remain in control by capturing and displaying the entire life cycle of an order. Coupled with our comprehensive Time and Sales database, featuring Level I, Level II and Last Sale data for the past 1 year, users are provided with a powerful tool to replay market conditions specific to each and every transaction.

Regulatory reporting

Protegent Trading Compliance also provides a reporting facility to satisfy:

- Best Execution Disclosure (Reg NMS Rule 605)
- Order Routing Disclosure (Reg NMS Rule 606)
- FINRA OATS Reporting (FINRA Rules 6950 – 6958)
- Equity Trade Journal
- Electronic Blue Sheets
- Futures Audit Trails
- Consolidated Audit Trail

A unique file management and repair facility integrates with source data to help pinpoint the source of any problems with the required FINRA OATS reporting. File or record rejections can be repaired and resubmitted directly from Protegent Trading Compliance. Additionally, all OATS files transmitted and repaired through Protegent Trading Compliance are electronically stored and available for retrieval, if needed.

About Protegent

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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