



FIS TRADING COMPLIANCE MANAGER

Master market surveillance, regulatory reporting and trading risk

In today's fast-paced and complex financial trading ecosystem, the need for a robust and reliable compliance solution has never been greater. Introducing FIS® Trading Compliance Manager, a comprehensive, scalable, cloud-hosted platform designed to streamline compliance processes, proactively manage risk and provide in-depth market insights to ensure firms are resilient in an ever-changing regulatory environment.

Superior technology for compliance excellence

FIS Trading Compliance Manager is a multi-asset class platform that provides trade surveillance, regulatory reporting and supervisory controls. Get a complete view into the order life cycle and strengthen your trading supervision with alerts that flag trading violations. Trading firms must analyze a vast amount of data to meet trading compliance requirements including daily reviews, post-trade analysis, best execution and RegNMS, RegSHO, market manipulation and Consolidated Audit Trail (CAT).

Leverage the next-generation responsive UX platform, Snowflake data lake and AI/ML capabilities in one unparalleled compliance solution. The FIS platform provides a single user interface with a unified data model deployed on Snowflake and AWS. With comprehensive BI visualization and reporting, Trading Compliance Manager integrates transaction data, market data, news data, and market actions data, enabling a holistic view of trading activities. The platform's architecture enables real-time alerts, predictive analytics and unified rules for market manipulation and trade surveillance alerts.

FIS Trading Compliance Manager is comprised of three core modules in one SaaS solution, regionally hosted in the U.K., Europe and the U.S.

Market Surveillance:

Identifies market integrity issues such as insider trading and market manipulation.

Trading Compliance:

Offers a multi-asset regulatory reporting and alert-driven solution that flags trading violations and strengthens your supervisory controls.

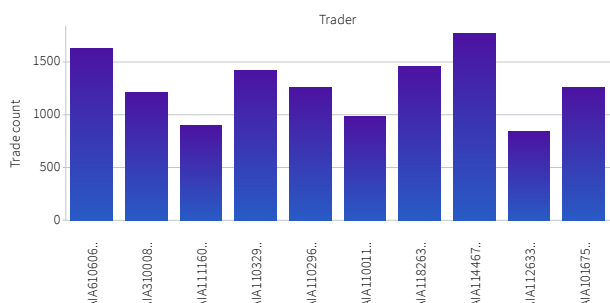
Regulatory Reporting:

Helps you comply with the Consolidated Audit Trail (CAT) submission to FINRA and increases transparency at the same time.

Key features

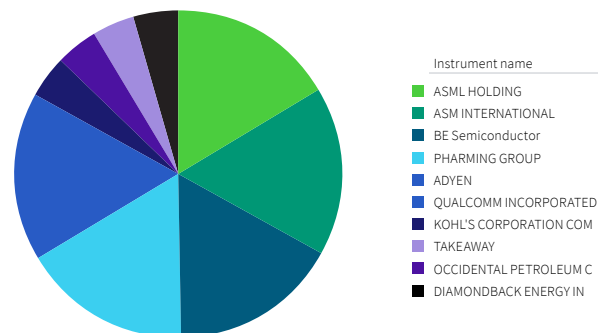
- **Cloud-hosted:** Our cloud-based solution provides high performance, scalability, elasticity and reliability in volatile markets.
- **Next-generation UX platform:** A highly responsive and user-friendly interface ensures ease of use.
- **AI/ML-powered:** Leverage artificial intelligence and machine learning for adaptive predictive analytics, enhancing your ability to identify and mitigate risks.
- **Comprehensive data integration:** Our platform integrates transaction data, market data, news data and market actions data for a complete overview.
- **Real-time alerts:** Stay ahead with real-time monitoring and alerts.
- **Unified case management:** Manage all aspects of compliance seamlessly through our unified case management system.
- **Know your customer (KYC):** Our communications surveillance feature supports email, chat and social media interactions for KYC.
- **Business intelligence analytics and insights:** Gain valuable insights and make data-driven decisions with our BI analytics.

Trades by trader



Trader	Trade count
AIA6106063020	1,679
AIA3100081320	1,274
AIA1111606620	937
AIA1103291520	1,482
AIA1102963920	1,333
AIA1100113120	1,030
AIA118263320	1,518
AIA114467220	1,846
AIA112633820	883
AIA101675820	1,330

Instrument value



Instrument name	Total national value
ASML HOLDING	196,767
ASM INTERNATIONAL	196,250
BE Semiconductor	192,729
PHARMING GROUP	188,239
ADYEN	128,261
QUALCOMM INCORPORATED	102,399
KOHL'S CORPORATION COM	68,760
TAKEAWAY	61,502
OCCIDENTAL PETROLEUM C	55,763
DIAMONDBACK ENERGY IN	44,816

Repartition volume order

PSTP	NB Orders	P10%	P20%	P30%	P40%	P50%	P60%	P70%	P80%	P90%	P95%	P99%	P100%
EO	25,235	1	1	1	1	1	1	2	4	10	20	125	500
IE	3,295	1	2	5	9	14	26	51	172	632	1,120	6,900	100,000
IF	2,593	1	1	1	1	1	1	1	1	2	3	5	20
IO	11,389	1	1	1	1	1	1	2	2	5	10	40	100
IT	12,632	35	95	100	200	275	500	700	1,296	3,000	5,000	11,709.91	40,000
IW	1,50	20	50	100	149.6	220	300	500	750	1,350	2,936	18,600	63,500
LE	49,442	2	3	6	10	20	41	100	200	600	1,183	5,000	133,028
ME	136,112	2	6	14	28	50	100	200	500	1,324.8	4,000	20,000	1,245,875
OE	42,399	1	2	5	9	15	26	52	130	500	1,522	20,000	1,000,000
OT	1,628	24.7	74	100	200	306	500	700	1,000	3,000	7,500	80,000	200,000
SE	176,804	5	10	22	46	84	136	268	600	1,848.7	4,299	20,000	1,000,000
ST	10,515	25	50	100	127.6	213	400	590	1,000	3,000	8,782.5	26,100	622,500
SW	1,198	20	36	98.2	150	300	600	1,220.4	2,000	4,000	7,075	45,000	155,000

Key benefits

- **Performance and scalability:** Support for high trading volumes and resilience against volume and trading spikes.
- **Easy alert analysis:** Enhanced alert detail screens and forensics for easier analysis of rule triggers.
- **Next-generation UX:** Highly responsive UI with ease-of-use features and flexibility.
- **Integrated solution:** Single URL across all compliance product offerings.
- **User community:** Benefit from a global community of compliance users and a customer-driven roadmap.



With FIS® Trading Compliance Manager, you're not just investing in a technology; you're partnering with FIS for innovative technology. We are committed to your compliance success. Visit our compliance web page and contact us for a demo: www.fisglobal.com/en-gb/products/fis-compliance-suite

About FIS

FIS is a leading provider of technology solutions for financial institutions and businesses of all sizes and across any industry globally. We enable the movement of commerce by unlocking the financial technology that powers the world's economy. Our employees are dedicated to advancing the way the world pays, banks and invests through our trusted innovation, absolute performance and flexible architecture. We help our clients use technology in innovative ways to solve business-critical challenges and deliver superior experiences for their customers. Headquartered in Jacksonville, Florida, FIS ranks #241 on the 2021 Fortune 500 and is a member of Standard & Poor's 500® Index.

To learn more, visit www.fisglobal.com. Follow FIS on Facebook, LinkedIn and Twitter (@FISGlobal).



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