



# FIS COMPLIANCE REPORTING MANAGER

FORMERLY PROTEGENT CAT

## The Solution That Helps Broker-dealers Proactively Comply with CAT

The Consolidated Audit Trail (CAT) requires you to submit your U.S. equities and options data in eligible securities to FINRA CAT for processing. That involves handling and storing vast amounts of records, adding strain to your operations.

**FIS® Compliance Reporting Manager (formerly Protegent CAT)** helps you comply with CAT and increase transparency at the same time. It efficiently collects, normalizes, validates, transmits and maintains reportable events pursuant to SEC Rule 613 in one central forensics repository. It also provides advanced pre- and post-submission data validation and error-correction capabilities.

With access to the same data that regulators are using, you can detect and fix errors prior to CAT submission and ensure proactive compliance. And by harnessing Compliance Reporting Manager's big data analytics on top of the CAT data set, you can discover patterns and correlations among order volumes, profitability, routing and other factors, leading to new business insights and opportunities.



### EXPERIENCE GAME-CHANGING FUNCTIONALITY

Harness the power of big data analytics to turn Rule 613 into an opportunity to gain additional business value.



### STRENGTHEN YOUR SECURITY

Partner with a provider that has a track record of handling sensitive data, close relationships with the information security community and stringent controls.



### INCREASE YOUR CONFIDENCE

Meet reporting deadlines with ease and mitigate potential scrutiny and fines with pre-submission simulation and progress reporting.

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## EASILY ACCESS YOUR DATA

Our consolidated interface makes it easy to access, review and analyze your data on a real-time or intraday basis.

## IMPROVE DATA MANAGEMENT

Our solution collects all required data from multiple, disparate sources – both structured and unstructured – and normalizes it to eliminate disparities and reduce the complexities when referencing data across different systems. You can also validate the data to ensure that the appropriate information is submitted to CAT.

## ADDRESS ISSUES MORE QUICKLY

Our repair facility features an intuitive interface that makes it easy to resolve reported issues or errors post-submission.

## SIMPLIFY ACCOUNT MANAGEMENT

You can upload, add, delete and update account information directly within the solution.

## Get more out of your investment in CAT.

[GETINFO@FISGLOBAL.COM](mailto:GETINFO@FISGLOBAL.COM)

### FIS ranked #1

by Chartis in the 2021 RiskTech100  
for 6th year running

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by Chartis in the 2021 RiskTech100®  
in 7 categories

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PAYS, BANKS AND INVESTS™