



FIS ETD Reporting

Unlock advanced exchange traded derivatives compliance controls



Managing market risk with advanced compliance

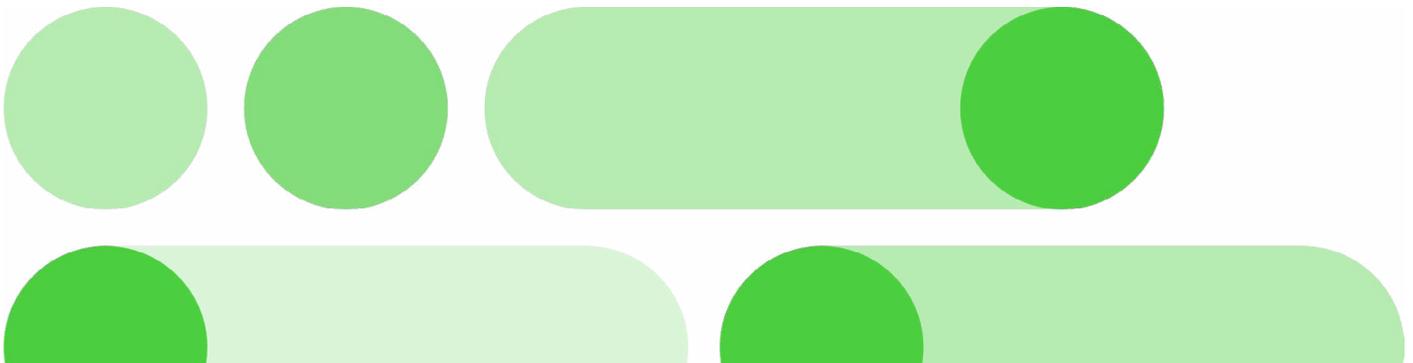
While derivatives offer strategic opportunities, they also present specific risks. Because investors primarily use these contracts to hedge against price fluctuations or speculate on future price movements, market prices can move unfavorably. It's crucial to understand how this volatility might affect your portfolio. Faced with growing complexity and the breadth of reporting obligations, financial institutions and their risk management teams are struggling to ascertain what exactly to report, why, and when. This often results in time-consuming remediation and validation to rectify incorrect report submissions or to simply establish if a particular trading activity has been over or under reported.

Furthermore, senior executives within these institutions are compelled to ensure that risk management processes are comprehensive and correctly implemented post-trade. Reputational impact aside, this minimizes the likelihood of financial penalties and resource misallocation stemming from over or under reporting.

The role of regulation

To help minimize risk, financial authorities subject these derivatives to strict regulatory oversight. This helps foster a more secure and transparent environment for your trading activities. FIS® ETD Reporting (formerly Droit) helps ensure accuracy and compliance in financial trade reporting through automated validation and eligibility checks. It highlights challenges faced by financial institutions in managing complex reporting obligations, and delivers a platform for real-time, audit-friendly decisioning. FIS' solution provides clearing agencies and exchanges with a flexible solution that covers completeness checks, eligibility and pre-submission report validation, to track and accurately report on compliant trades in real-time.

FIS specializes in providing an independent quality assurance tool, with very precise eligibility and validation checks on post-trade reporting output. This means that reports are generated at the right time with the right fields, allowing front-office and middle-office teams to fully focus on client opportunities, comfortable that reporting obligations have been fulfilled. And, because it's powered by our patented platform, the decisioning process on what needs to be reported is fully automated.



Why choose FIS for ETD reporting

Used by the world's largest banks and asset managers globally, the platform makes millions of mission-critical regulatory, risk and governance-based decisions every day. The decision engine has been engineered to support consensus-driven, regulatory decision-making, eliminating the need to individually interpret what's required to meet reporting obligations.

Utilizes available data

Leverage reference data and policies where relevant, minimizing implementation timelines and complexity.

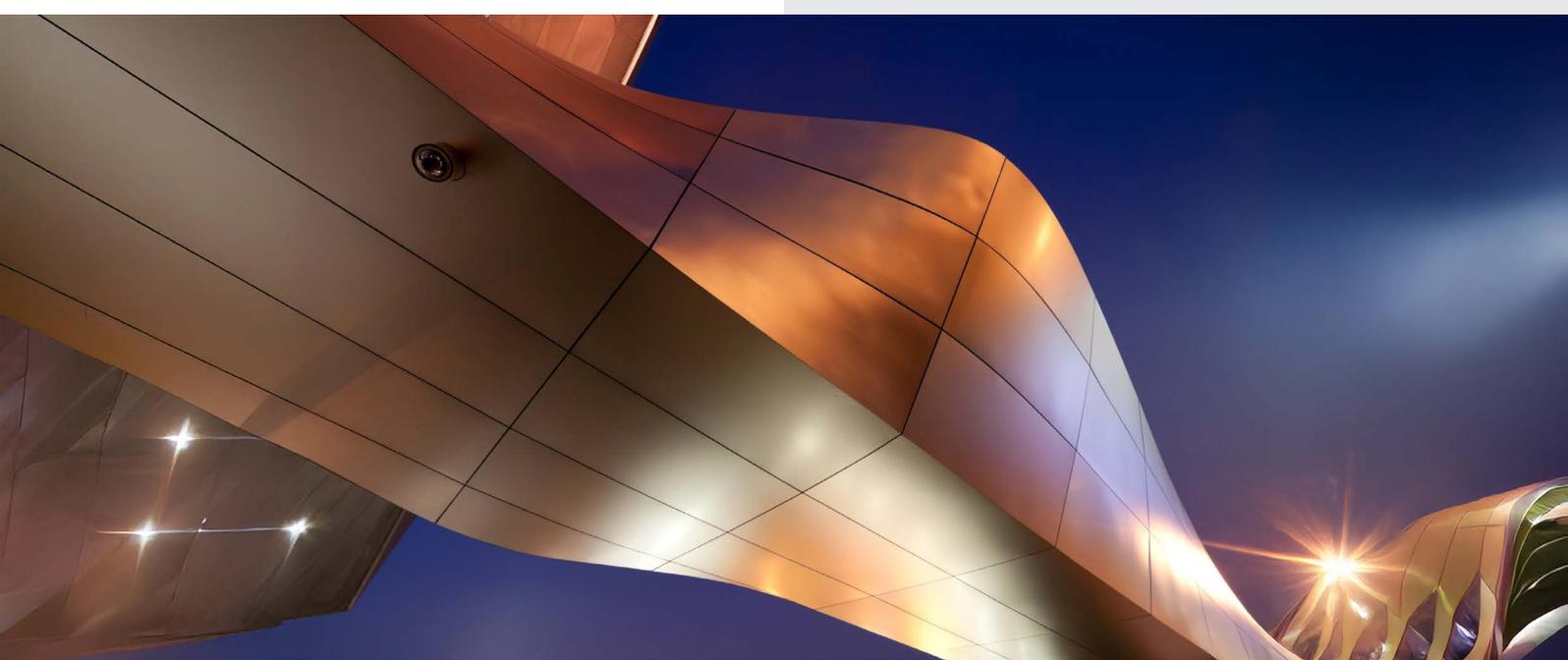
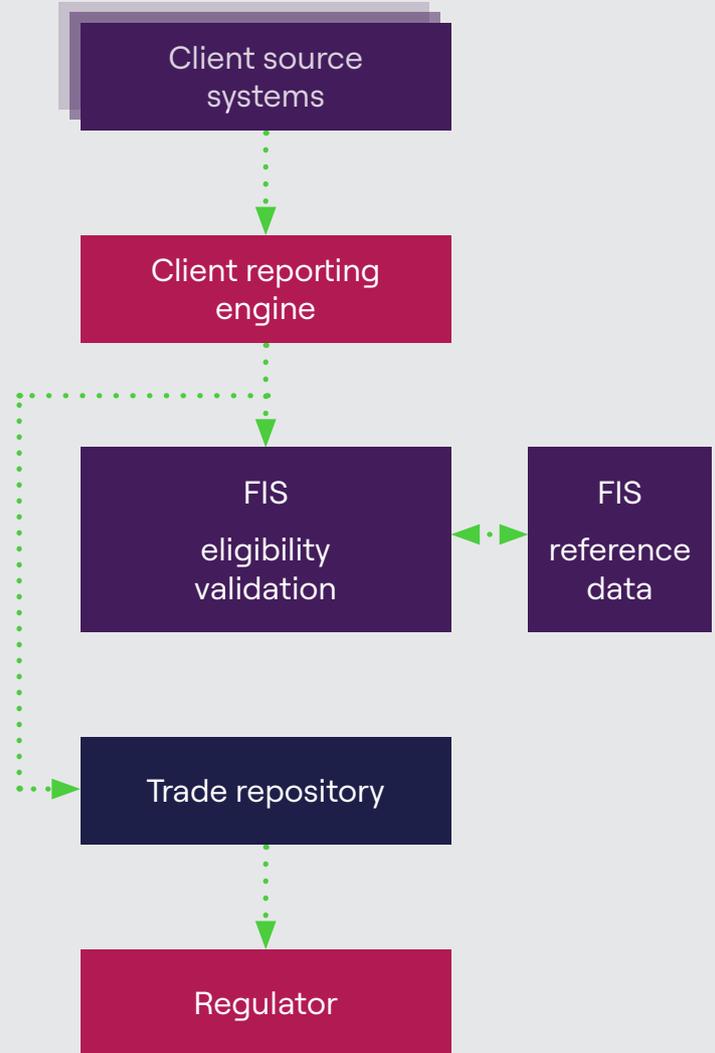
Compliance and supervisor friendly

Our technology enables complete forensic reviews to quickly and easily prove adherence to a decision process in a way that is fully auditable, traceable and repeatable with visualized logic. This is easily viewed standalone, or integrated into a firm's own surveillance systems.

Proven, patented platform

The platform is well established and being used to power a number of product solutions across the capital markets transaction lifecycle.

Report validation FIS for quality assurance



Key capabilities

The right reports at the right time

Easily identifies reporting obligations in real-time and ensures the correct fields are populated with accurate data for completeness, avoiding over or under reporting, ready to meet external submission deadlines.

Fully transparent decisioning

Traces each logic step through to the regulatory source text. Understand how decisions are made, providing confidence and reassurance when it comes to external submission for positions to various relevant authorities

More efficient teams

Validates reports against regulatory and trade repository specifications and accurately identifies errors through API access or a dedicated UI. Rigorous reporting and dashboarding allows teams to focus efforts by identifying frequently occurring errors and high-impact issues.

High performance API

Proven to handle millions of decisions and validations, complying with thousands of complex regulations per day for global tier-1 institutions.

Audit-friendly with easy traceability

Creates a fully auditable record to evidence how decisions on reporting obligations were made for internal and external oversight, reducing cost and time on remediation efforts.

Unlock more

Money at rest. Money in motion. Money at work.™

Our technology powers the global economy across the money lifecycle.



Money at rest

Unlock seamless integration and human-centric digital experiences while ensuring efficiency, stability, and compliance as your business grows.



Money in motion

Unlock liquidity and flow of funds by synchronizing transactions, payment systems, and financial networks without compromising speed or security.



Money at work

Unlock a cohesive financial ecosystem and insights for strategic decisions to expand operations while optimizing performance.

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