



FIS Pre-Trade Compliance

Unlock the gold standard for systematic, evidencable and robust trading controls



With global regulatory scrutiny ever intensifying, banks must ensure they have the right pre-trade controls platform to ensure effective preventative controls applied via hard- and soft-blocks. Fragmented legacy systems, manual intervention, and reliance on attestations and detective controls create significant risks and slow down trading.

FIS® Pre-Trade Compliance (formerly Droit) provides an API-first automated solution that embeds compliance directly into the trading workflow. The result? Traders and salespeople can act with confidence, safe in the knowledge that they can simply and robustly evidence every decision, linked directly to the relevant section of the internal policy document and/or regulatory text.

Trading floor productivity is boosted, and senior managers are assured that their pre-trade controls platform will provide the ultimate auditability, traceability and transparency to demonstrate to internal control functions and regulators.

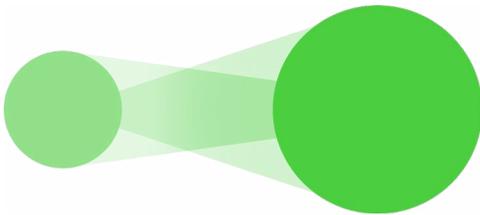
Compliance by design

Combine global jurisdictional rule coverage with digitized versions of your internal policy documents to create a complete and accurate control framework for comprehensive trading oversight.

Pre-trade controls incorporate three pillars, which can be taken individually or combined as a comprehensive solution:

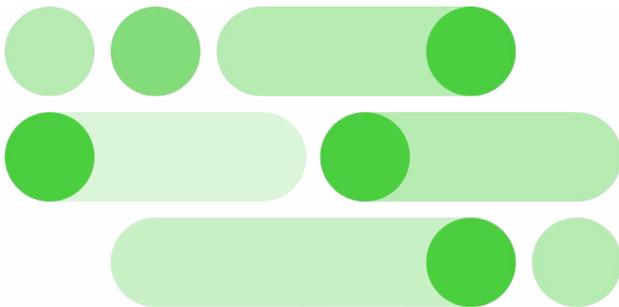
Client readiness/ready-to-trade

- Enables salespeople to rapidly and definitively determine ready-to-trade status for any client, product or entity combination.
- Checks typically incorporated include (but are not limited to): KYC setup and refresh, legal documentation, credit lines, account setup, "do not trade" lists, and sanctions.
- The platform is able to aggregate across multiple internal systems to give one definitive "ready-to-trade" decision – avoiding the need for salespeople to log into disparate systems with conflicting responses.



Trader mandates and cross-border booking controls

- Ensures traders are trading within their trader mandate and booking model authorizations.
- Trader mandates can be as granular as required, incorporating product, tenor, purpose, etc.
- Cross-border booking controls can also be controlled in the associated combination logic, i.e., “can this trader trade this product, for this purpose, from this booking entity and with this salesperson and client.”
- Preventative controls can be applied via a mixture of hard- and soft-blocks, with banks determining their own criteria and associated workflow.



Point of Trade

Point of Trade rules incorporate business conduct, risk mitigation, clearing, uncleared margin and trade execution rules, spanning all major jurisdictions, regulators and venues.

Our clients benefit from horizon scanning supported regulations for upcoming updates and rewrites. FIS provides these updates to clients at no extra cost and as early as practically possible in advance of go-live. Combined with our patented technology explore mode functionality, clients can easily see what the impact of these changes will be on their trading population.

Clients are also able to “join the pack” of the 25+ other banks that are part of the consensus. This does away with both the cost uncertainty and risks associated with a bank-specific internal interpretation and implementation. Clients can still choose to deviate from consensus, making an informed decision based on an understanding of the industry consensus interpretation.

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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