



Trading Compliance Manager

Unlock smarter compliance while minimizing risk and maximizing clarity

The stakes for trading compliance have never been higher. Regulations are evolving quickly, but the real challenge isn't just keeping up with the rules — it's identifying and mitigating risk before it becomes exposure. Shifting requirements, tighter scrutiny and escalating penalties are only part of the equation. Trade volumes are rising, data is multiplying, and hidden risks are growing across desks, markets and jurisdictions. Compliance teams must not only monitor and report on every transaction but stay alert to where risk may be building next.

Yet many firms still rely on fragmented tools, outdated workflows and manual reviews. Disparate systems create blind spots. Siloed teams delay action. And when data doesn't reveal the full picture, even small errors can snowball into regulatory findings, reputational damage and strategic setbacks.

That's why compliance can no longer be treated as a check-the-box exercise. It must be a proactive, risk-mitigation strategy. Firms need tools that uncover areas of risk regulators haven't yet flagged, manage both regulatory and reputational risk, and reduce operational complexity — all while building the agility to adapt to whatever comes next.

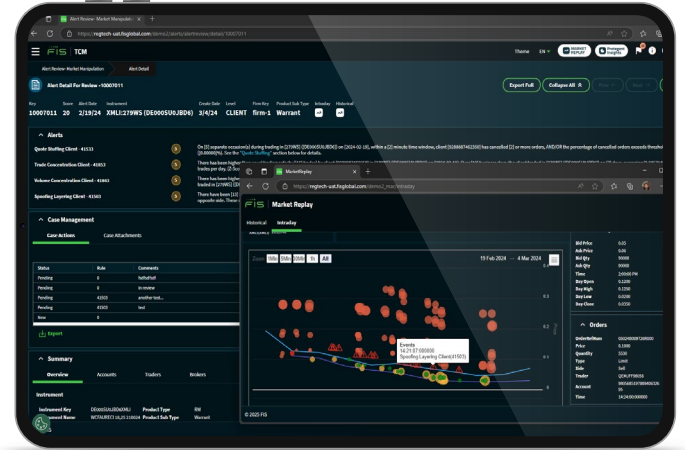
FIS® Trading Compliance Manager is a modern, multi-asset platform that empowers firms to simplify surveillance, accelerate regulatory reporting and strengthen supervisory controls, all within one unified solution.



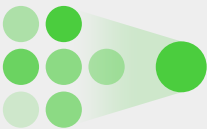
When money is at work in fast-moving markets, firms need confidence that every trade supports growth while staying compliant. Trading Compliance Manager helps ensure investment capital is working as hard as possible: protected, secure and ready to capture opportunity.

Built on a single data model, Trading Compliance Manager connects the entire order lifecycle across asset classes and trading systems. With integrated market and client data warehouses, firms gain insights to help balance risk with reward and safeguard investors' money at every step.

By turning complexity into clarity, Trading Compliance Manager strengthens oversight and the potential return on money at work.



Key capabilities:




Consolidated view across equities, fixed income, futures and options



Execution Management System (EMS)/Order Management System (OMS)-agnostic integration, flexible deployment



Risk-based surveillance and AI-driven forensics



Audit-ready documentation and investigation tools



Support for global regulatory reporting and surveillance requirements including Reg NMS, Reg SHO, CAT, CAIS, MAR, MiFID II and more

Unlock the power of compliance clarity

Unlock visibility across compliance operations

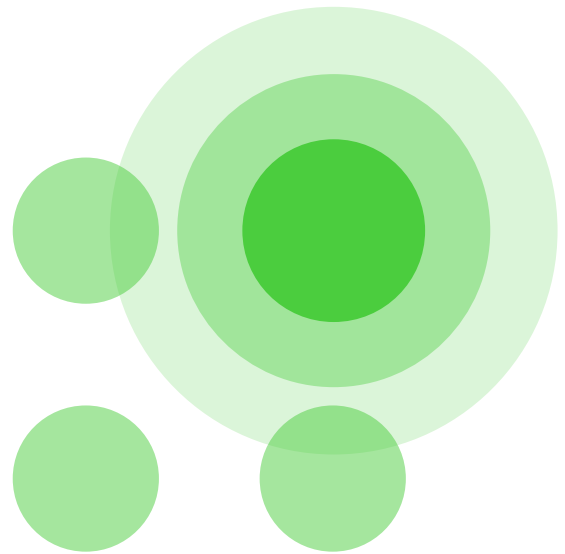
Too often, key compliance data lives in disconnected systems, slowing investigations and leaving gaps in oversight. Trading Compliance Manager unifies that data into a single source of truth. With real-time access and shared insights across teams, you can identify risks earlier and respond with greater precision.

Unlock agility to keep pace with change

The rules won't stop evolving, but neither will your compliance strategy. Our scalable platform enables seamless integration of regulatory updates directly into your workflows. With faster interpretation and implementation, your teams stay focused on opportunity, not uncertainty.

Unlock efficiency to reduce manual burden

Manual compliance work is slow, costly and risky. Trading Compliance Manager automates routine tasks, streamlines alert management, and reduces errors, freeing your experts to focus on higher-value activities and smarter capital decisions.



Where risk meets opportunity, money keeps moving.

[Learn more](#)

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

Trading Compliance Manager helps ensure investment capital is put to work effectively. 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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