



# FIS TRADING COMPLIANCE MANAGER

FORMERLY PROTEGENT TRADING COMPLIANCE

## The Multi-asset Regulatory Reporting and Surveillance Solution

As a sell-side firm, you need to analyze vast amounts of data to meet trading compliance requirements. These include daily reviews, post-trade analysis, best execution and RegNMS, RegSHO, market manipulation, Electronic Blue Sheet (EBS) requests, OATS and the Tick Size Pilot. It's a huge task, especially when your data is locked in disparate systems.

**FIS® Trading Compliance Manager (formerly Protegent Trading Compliance)** is a multi-asset regulatory reporting and alert-driven solution that flags trading violations and strengthens your supervisory controls.

Get a complete view into the order life cycle, including market and client data warehouses, and meet all of your trading compliance needs in one efficient solution.



### MANAGE YOUR TRADING

Holistically monitor and manage equities, options and futures trading – and promptly respond to audits and regulatory inquiries.



### MITIGATE YOUR RISK

Minimize reputational risk and maintain your focus on profitability.



### CONTROL COSTS

Leverage our hosted delivery and comprehensive data warehouse to calculate execution quality data and reduce storage costs.

# FIS TRADING COMPLIANCE MANAGER

The Multi-asset Regulatory Reporting and Surveillance Solution

## EXPERIENCE OMS INDEPENDENCE

Trading Compliance Manager can be used with both in-house and third-party trading and order management systems. It can receive data throughout the day.

## MAINTAIN CONTROL

You can limit access to who accesses information or reports, allowing your sensitive information to be maintained in a secure environment. You can also tailor analytical reports based on user rights.

## STRENGTHEN SURVEILLANCE

Our surveillance functionality monitors transactions to help detect potential compliance violations. Business rules trigger alerts when problems occur.

## CREATE COMPREHENSIVE DOCUMENTATION

An automatic record of every update provides a complete audit trail. When an issue is discovered, you can document the steps that were taken to address the problem.

## GET COMPLETE OVERSIGHT

Our internal investigation capabilities help you capture and display the entire life cycle of an order. Coupled with our comprehensive Time and Sales database – which stores Level I, Level II and Last Sale data for the past year – you can replay market conditions specific to each transaction.

## Gain a comprehensive view of your order life cycle.

[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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**FIS**

ADVANCING THE WAY THE WORLD  
PAYS, BANKS AND INVESTS™