

6 reasons to modernize your compliance approach

As trade volumes grow and regulatory expectations rise, firms are under pressure to act faster, prove intent and minimize risk. Traditional trading surveillance and reporting systems – often siloed and reactive – can no longer keep up.

A modern compliance platform makes it easier to track behavior, prioritize alerts and adapt quickly to change. Here's why now is the time to unlock better outcomes through a more unified approach that allows capital to work harder.

Bring compliance, surveillance and reporting together

Most firms still rely on separate tools for monitoring trades, managing cases and generating reports. That fragmentation slows investigations and creates blind spots across teams. A unified platform brings these essential functions under one roof to improve consistency, reduce duplication and give compliance teams a single source of truth.

Scale as trade volume and complexity grow

As firms expand across regions and asset classes, the volume and variety of trade data increase exponentially. Static or legacy tools often struggle to keep up, creating backlogs and missed opportunities for early detection. A modern compliance approach is built for throughput and speed, processing millions of trades daily without sacrificing performance or visibility.

Rely on proven experience and industry trust

Compliance isn't just about tools; it's about trust. When the stakes are high, firms want to be confident their systems are reliable, tested and backed by real-world experience. Access to subject matter experts and peer insights can help teams stay aligned with regulatory expectations, interpret changes correctly and make informed decisions about risk.

Configure your systems your way

Every firm has its own risk appetite, regulatory obligations and internal workflows. A flexible compliance system allows teams to configure rules, set thresholds and customize alerts to match their specific oversight needs. Modular tools also give firms the ability to scale features over time, adding new capabilities without rebuilding from scratch.

Improve precision with AI

While many systems can flag suspicious trades, too often the result is noise: large volumes of false positives that require manual review. AI and machine learning help improve the signal-to-noise ratio by analyzing patterns, learning from past results and identifying subtle anomalies that static logic might miss. This shift from reactive filtering to intelligent detection helps compliance teams focus their time on the highest-priority risks.

Learn and adapt as a community

Compliance teams often face the same emerging risks, but too many still work in isolation. A growing ecosystem of compliance professionals – combined with platform-level learning – allows firms to benefit from shared trends, collective feedback and best practices. As the community evolves, the tools evolve with it, helping firms respond to new threats faster and make smarter decisions with every interaction.



Unlock clarity and control across the entire compliance lifecycle

As trade volumes increase and oversight demands intensify, firms need a smarter, more integrated approach to staying compliant. FIS® Trading Compliance Manager brings together multi-asset trade surveillance, regulatory reporting and supervisory oversight on a single platform to strengthen compliance and minimize operational disruption, enabling resources to work harder.

UNLOCK MORE

With a unified data model, modern cloud infrastructure, and integrated client and market data views, Trading Compliance Manager empowers firms to manage reputational risk and regulatory obligations across the full money lifecycle – from order to settlement and beyond – so compliance never disrupts the flow of capital.

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

Trading Compliance Manager helps firms put their compliance strategy to 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.