

RISK AND COMPLIANCE

# PROTEGENT OVERVIEW BROCHURE



Empowering the Financial World  
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FIS

# The Onslaught of Regulatory Change is Bringing Compliance to the Forefront

**Consolidated Audit Trail (CAT), DoL Fiduciary Rule, high-risk & recidivist brokers, senior investors, sales practices & suitability, CIP/AML, cybersecurity, market integrity, conflicts of interest, social media – the list is endless. Financial Services firms must manage vast disparate sets of data and processes to comply with regulations.**

## It's difficult to gain oversight of all compliance risk – or the consequences

Today's compliance officers must spend more and more time educating themselves about the latest proposals and rules, ensuring that they map them to the business practices of the firm and update their risk-based compliance analysis, often against very tight deadlines.

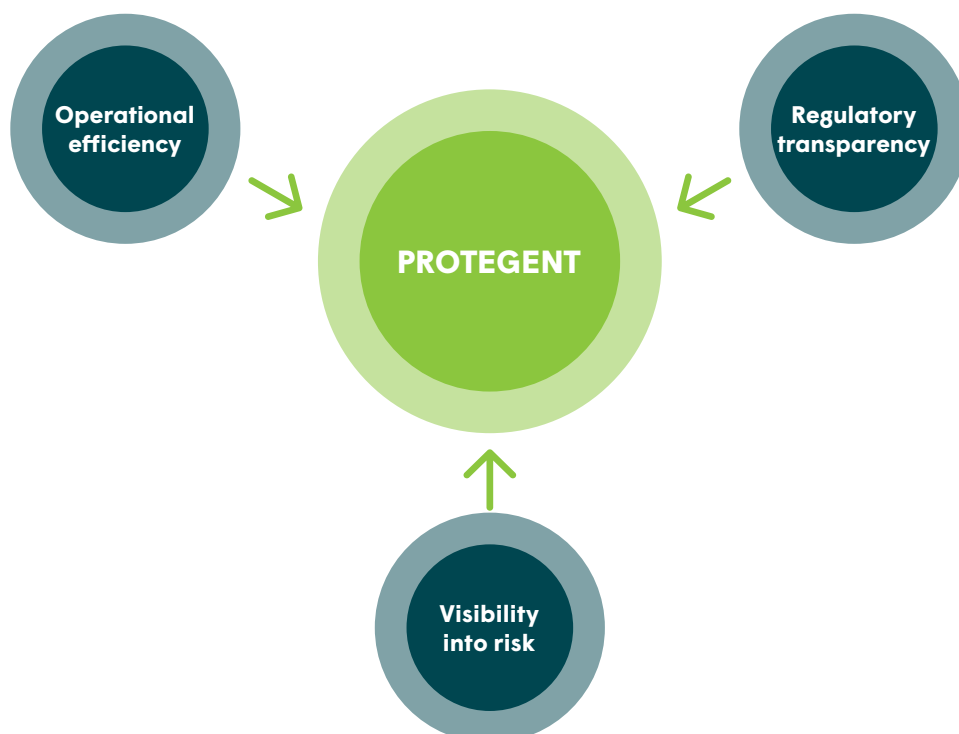
### Our approach

FIS' Protegent suite of solutions provides firms greater visibility into potential compliance risk factors while increasing operational efficiency and regulatory transparency.

### FIS' Protegent suite of solutions can help you:

- Keeping up with regulatory changes
- Greater visibility into potential compliance risk factors
- Increasing the operational efficiency of compliance processes.

**By utilizing one trusted partner, thereby achieving oversight and overview, you can efficiently monitor and take appropriate actions to mitigate compliance risk and lower your total cost of ownership (TCO).**



## Protegent's suite of solutions includes:

**Protegent Trading Compliance** is a Web-based surveillance application designed to alert sell-side firms of potential violations occurring in the marketplace, assist in supervisory controls and support management reporting. This is accomplished by providing a complete view into an order's life cycle, through an alert-driven solution supported by comprehensive market data and client data warehouses. Consequently, daily reviews, post trade analysis, best execution and RegNMS compliance, and responses to trading examinations, Electronic Blue Sheet (EBS) requests, OATS and Tick Size Pilot requirements become more efficient. Protegent Trading Compliance also helps position the firm to be able to address future Consolidated Audit Trail (CAT) obligations.

**Protegent Surveillance** helps you mitigate reputational, internal and regulatory risk stemming from sales practices issues and potential fraud pertaining to high-risk and recidivist brokers, abuse of senior investors, anti-money laundering, product suitability mismatches, overconcentration, and excessive/short term trading in long term products. The solution helps you identify questionable transactions and high risk positions, streamline review processes, support audits, and respond to regulatory and internal audit inquiries quickly. Protegent Surveillance also helps position the firm to be able to address future obligations such as the upcoming Department of Labor Fiduciary Rule.

**Protegent Market Abuse** supports compliance organizations surveillance for market integrity issues involving potential insider trading and market manipulation such as wash sales, spoofing and layering across asset classes and all firm, portfolio, trader or algo, and client trading. Protegent Market Abuse provides a rich rules library which is updated in step with evolving regulation, rich analytical tools, case management and an audit trail of all analysis and investigations easing the burden of audits. Combines the benefits of a comprehensive, off-the-shelf solution with the flexibility of a custom-built solution. Compliance users who are closest to the issues can fine tune the application to meet their changing needs.

**Protegent Personal Trading Assistant (PTA)** a browser-based application, Protegent PTA is a comprehensive solution that automates conflicts of interest management and code of ethics administration. Conflict of interest and code of ethics issues arise from a number of different factors including but not limited to employee personal trading, outside business activities, private securities transactions, gifts and entertainment, research activities, and deals and engagements. Protegent PTA functionality focuses on automated identification of issues, workflow flexibility to support firm processes and extensive reporting that caters to actions such as management reporting/ dashboards and regulator requests.

**Protegent Social Media** helps you mitigate reputational, internal and regulatory risk, monitor and archive activity and content posted to social networking sites such as Facebook, LinkedIn and Twitter, and corporate web pages with no exception for the device used to make the posts.

**FIS Risk as a Service (RaaS)** is a consolidated cybersecurity solution that combines software that provides website and network vulnerability assessment and vendor risk management with a managed service that taps the experience and expertise of FIS expert analysts.



### About Protegent

FIS' Protegent is a suite of solutions that help automate financial institutions' compliance processes. Protegent solutions helps financial institutions manage the following industry regulatory challenges: Consolidated Audit Trail (CAT); DoL Fiduciary Rule; High-risk & recidivist brokers; senior investors; sales practices and suitability; CIP/AML; Cybersecurity; Market Integrity; Conflicts of Interest; and Social Media. For more information, please visit [www.fisglobal.com/protegent](http://www.fisglobal.com/protegent)

### About FIS

FIS is a global leader in financial services technology, with a focus on retail and institutional banking, payments, asset and wealth management, risk and compliance, consulting and outsourcing solutions. Through the depth and breadth of our solutions portfolio, global capabilities and domain expertise, FIS serves more than 20,000 clients in over 130 countries. Headquartered in Jacksonville, Florida, FIS employs more than 55,000 people worldwide and holds leadership positions in payment processing, financial software and banking solutions. Providing software, services and outsourcing of the technology that empowers the financial world, FIS is a Fortune 500 company and is a member of Standard & Poor's 500® Index. For more information about FIS, visit [www.fisglobal.com](http://www.fisglobal.com)



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