FIS EMPLOYEE COMPLIANCE MANAGER - INSIGHTS

Formerly Protegent Personal Trading Assistant

FIS® Employee Compliance Manager (formerly Protegent Personal Trading Assistant) provides a fully web-based insights tool for data discovery, visualization and analytics in a userfriendly interface which allows for data mining, story building, scalability and performance.

The dashboard is grouped into six main areas to give users greater transparency into their compliance data and more easily investigate and mitigate potential risks. The dashboard data will be aggregated for the hierarchical level based on the employee's position within the firm.

PROVIDES

- Improved out-of-the-box value with pre-built reports
- A more visually appealing user experience
- Greater transparency with drilldown and interactive capabilities

RISK DASHBOARD

WORKFLOW	TRANSACTIONS	HOLDINGS	VIOLATIONS	CERTIFICATIONS	STATEMENTS

KPIs

TRENDING

World-class analytics are derived from direct connections with your Employee Compliance Manager database. FIS-produced dashboards provide a holistic view to compliance, management, board and audit teams. Additional dashboards will be available for clients who wish to design and build their own custom dashboards.

Data segregation is built in the Employee Compliance Manager hierarchy model so users only see information from their position in the organization and below. Login-based entitlements can also restrict access to specific dashboards and reports.

Seamless user authentication is available so firms can incorporate this application into an enterprise portal or launch the application from FIS® Compliance Suite (formerly Protegent) dashboards.

Dashboards

The Insights dashboards provide a holistic view of key risk areas. These dashboards concentrate in areas that pose a risk to your firm such as violations, workflow items awaiting action and high-volume transactions/holdings.
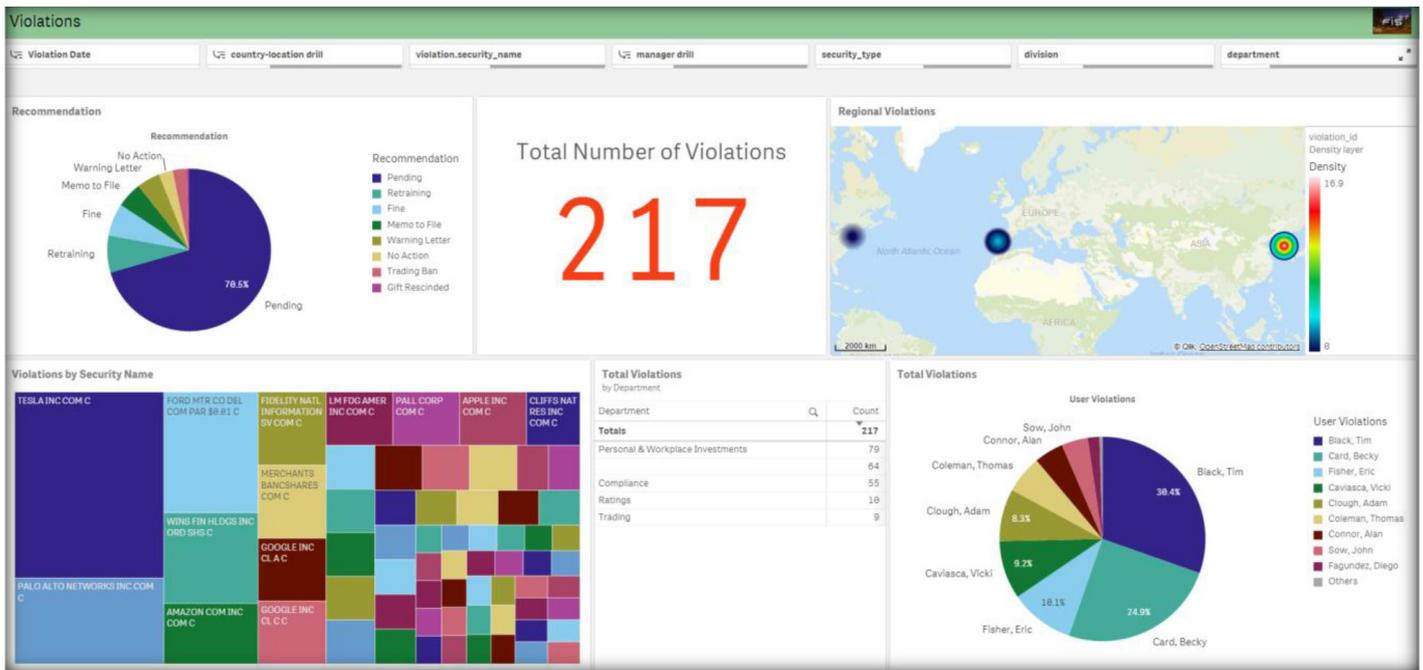
Smart filtering

Smart filtering provides new ways to explore and mine your data to build essential reports. Smart filtering within each visualization provides a further layer of analysis, with increased focus on securities, regions, business lines or offices. While data mining and spotting trends, your team may page through multiple dashboards while maintaining the filter conditions they applied.

Story building

Risk and surveillance reporting has never been easier. The Story feature allows you to capture snapshots from your data findings and build a narrative of potential risks. Showing a compelling story allows risk and compliance users to get the backing and support needed from management to effectively address and mitigate issues before they escalate.

Data insights

Having trouble finding the best way to represent your data? Based on the type and trends in your data, Insights' cognitive engine suggests visualizations that are most intuitive for representing your data, allowing you to explore your data in a whole new way.
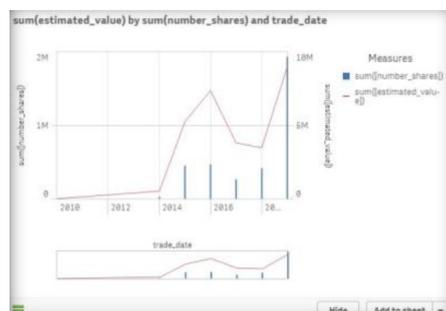
About FIS

FIS is a leading provider of technology solutions for merchants, banks and capital markets firms globally. Our employees are dedicated to advancing the way the world pays, banks and invests by applying our scale, deep expertise and data-driven insights. We help our clients use technology in innovative ways to solve business-critical challenges and deliver superior experiences for their customers. Headquartered in Jacksonville, Florida, FIS is a Fortune 500® company and is a member of Standard & Poor's 500® Index.

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