

Insider Trading is, perhaps, the most prevalent risk faced by financial services firm today in terms of reputational damage and even survival. No firm, institution or public company is immune to its potential occurrence and the devastating effects of its regulatory consequences. Our Insider Trading Manager enables firms to detect the potential misuse of material non-public information by identifying transactions that have breached corporate policy.

Unlike other systems which are typically only event- or news-driven, BasisCode Compliance Insider Trading Manager™ is designed to monitor all trading activity on an ongoing basis. This process, which can be applied to both firm and employee transactions, was designed to save time, reduce risk, and provide for more meaningful analysis.

Increased Accuracy and Reduction of False Positives

The BasisCode Compliance Insider Trading Manager™ features a highly advanced, proprietary detection engine skillfully designed to increase detection accuracy and reduce false positives. The software’s sophisticated filtering mechanisms reduce the volume of extraneous data, while increasing the accuracy of items that warrant review. The process saves time, reduces risk, and provides for more meaningful analysis and can be applied to trade activity in both firm and employee transactions. Users can easily configure a range of filtering thresholds, including transaction size, a customizable rolling day time period, and patented features such as the **Market Movement Mechanism** and the **Volume Move Mechanism** which, when used in combination, eliminate the “noise” of false positives for transactions that otherwise would be queued for review.

*Skillfully designed to **increase detection accuracy and reduce false positives***

Integrated Analysis and Verifiable Audit Trails

The BasisCode Compliance Insider Trade Manager™ boasts advanced features that support an end to end analysis process including an integrated news feed and the ability to instantly initiate an investigation or a ‘dialogue’ from within the software.

The integrated news feed cross-references securities and can be filtered by a host of leading sources, stock symbols as well as timeframes surrounding trade dates. Users can seamlessly access, and associate news sources related to transactions as evidence as investigations progress. Each step of the investigation process is captured by date and timestamp as part of a fully verifiable audit trail.

- **Configurable Rules Engine**
- **Integrated Capture and Cross Reference of News Sources**
- **Integrated Trading Data**
- **Robust Investigation Management and Reporting**

