



Insider Trading

BasisCode Compliance™ Insider Trading Manager

Confident in your approach to protecting MNPI?

BasisCode Compliance™ Insider Trading Manager is a powerful compliance management software enabling firms to confidently detect the potential misuse of material non-public information by identifying transactions that have breached corporate policy.

Leverage compliance software to optimize this process while reducing false positives.

Unlike systems that are solely news- or event-driven, this comprehensive set of compliance and risk management tools provides a framework that monitors all ongoing trading activity against a proprietary, sophisticated, detection engine.



Configurable Detection Engine



Integrated News Sources



Automated Trading Data



Continuous Surveillance



Investigation Management

Configurable Detection Engine

- Highly advanced, skillfully designed to increase detection accuracy whilst reducing false positives
- Configure settings applied against a wide range of filtering thresholds including transaction size and rolling time periods
- Access patent-pending features such as the Market Movement Mechanism and Volume Move Mechanism

Integrated News Sources

- Integrated news feeds cross-reference securities
- Access, review and archive related news items to serve as supporting documentation/evidence within investigations

Automated Trading Data

- Easily analyze both firm and employee trading activities against detection engine settings with automated data feeds

Continuous Surveillance

- Integrated watch-dog approach analyzes data in a set-it and forget-it framework
- Patent-pending detection engine continuously processes data to more accurately identify exceptions thereby reducing false positives

Investigation Management

- Fully-integrated investigative framework offers an end-to-end analysis workflow
- Step-by-step investigation process is captured and memorialized by date and timestamps as part of a fully verifiable audit trail

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