

PROTEGENT SURVEILLANCE

Protegent Surveillance is a proven compliance solution that helps financial services firms mitigate reputational, internal and regulatory risks. With Protegent Surveillance, firms can detect suspicious trading activity and address supervision and suitability compliance needs. The solution helps firms identify questionable transactions and high risk positions, streamline review processes, support audits and respond quickly to regulatory and legal inquiries. Firms benefit from the solution's robust rules library which includes regulatory driven baseline rules as well as the ability to calibrate and add customized rules. Protegent Surveillance's automated alerting and reporting capabilities increases efficiencies by staying on top of a firm's risk exposure and focusing surveillance efforts on issues that require compliance review. Deployment options include a full in-house implementation or a SunGard hosted ASP service module.

Who Benefits?

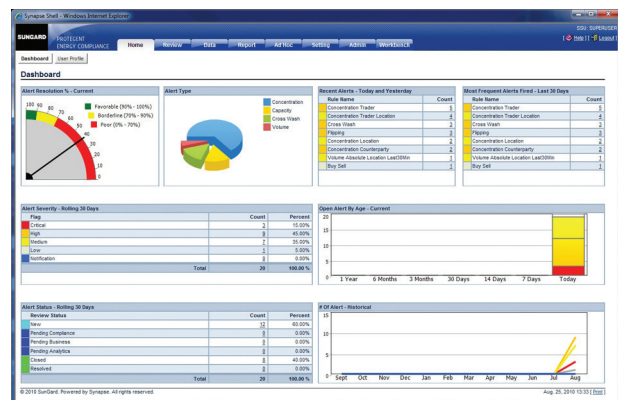
Protegent Surveillance provides comprehensive offerings to buy- and sell-side firms, exchanges, ECNs, MTFs, energy and commodity providers and insurance companies. Offerings help firms detect a broad range of issues including; commissions, concentration, suitability, licensing, breakpoints, market manipulation, AML, restricted holdings and insider trading activity.

FEATURES

- Identifies questionable transactions and positions
- Supports issue resolution workflow using a robust alert management functionality
- Provides alert scoring with justification and auto escalation
- Easily integrated with all data source systems
- Provides surveillance for global multi-asset market data
- Easily accessible web-based user interface
- Allows personal and shared watch lists
- Provides flexible and dynamic reporting capabilities

BENEFITS

- Automates surveillance and supervision processes
- Keeps pace with regulatory changes
- Improves field supervision processes and support field audits
- Identify, investigate and manage suspicious trading activity
- Respond quickly to regulatory and legal inquiries



The user dashboard provides a broad statistical overview of all critical alert trends and statuses.

SunGard's Protegent Surveillance assesses transactions and account data to provide real-time review and account monitoring.

OFFERINGS INCLUDE:

Anti-Money Laundering

The Anti-Money Laundering (AML) Offering includes analysis to detect transaction patterns indicative of potentially suspicious activity in conjunction with a customer's profile (KYC) based on USA Patriot Act and Bank Secrecy Act guidelines. Red Flag conditions identify circumstances warranting further due diligence as required under current AML rules and regulations. Workflow and issue tracking support documentation from inception to resolution.

Sales Practice Review

The Sales Practice Review Offering provides firms a comprehensive analysis of all client trades for suitability issues. Compliance reviewers are provided a blotter of all transactions for easy supervision and trade approval. Alerts detect and score trades based on the baseline library of alerts within the application. Alerts are highly configurable so firms can manage their compliance workloads and detect those issues that are of highest concern.

Market Abuse

The Market Abuse Offering helps firms identify behaviors that could indicate potential abusive behavior such as market manipulation and insider trading. The offering is built to accommodate multi-asset market data from industry standard trading platforms, ETRM systems, and data warehouses. The offering reviews and evaluates trades, positions and historical data against a robust rules library to produce potential exceptions to regulatory guidelines or firm policies. Easy access to detailed data enables firms to quickly respond to regulatory requests.

Account Review

A fully integrated Account Review Offering executes account-level rules designed to look across the account to detect patterns and trends. Daily analysis alerts managers of immediate concerns, while monthly analysis measures the convergence of account risk factors to provide a composite view of exceptions with a risk ranking of the accounts.

Audit

Protegent Surveillance's Audit Offering provides a consolidated view of firm-wide client positions, balances, transactions, and activity statistics, aggregated across the organizational hierarchy. This information allows sales managers to identify potential sales practice issues, perform peer reviews, execute remote field audits, identify revenue opportunities, spot high-risk areas and detect patterns and trends to support coach and counsel sessions.

Ad-Hoc Report

The system features extensive filtering, scripting, and formula options, enabling users to slice and dice" the data to their needs. The flexibility to dynamically create and save many different data views empowers users to focus on areas of concern and readily respond to regulatory inquiries. The Ad Hoc Report Offering greatly expands the ability to create custom reports, and identify trends graphically with charts and graphs.

For more information, email trading-info@sungard.com or visit www.sungard.com/protegent

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