Oracle Financial Services
Trade Blotter

Compliance analysts and business supervisors within financial institutions who rely on trade blotters to present overarching views of trading activity routinely highlight inadequacies with existing blotters for supervisory and compliance review purposes. A readily-generated trade blotter - accessible through the Oracle Financial Services interface - that presents easily sorted trade information including hyperlinked access to all alerts and cases associated with each trade serves as another proactive measure that firms can provide to compliance and supervisory staff to identify potentially problematic behaviors associated with employee driven trading activity or suitability issues around customer trades.

KEY FEATURES
• Direct access to related alerts and cases for each trade
• Configurable indicators for customer characteristics to enable efficient suitability reviews
• Comprehensive instrument coverage
• Configurable workflows
• Ability to email trade details to individual(s) for follow-up questions
• Easy auditability of completed and in-process reviews

KEY BENEFITS
• Helps firms comply with NASD 2310 (FINRA 2111 proposed), MiFID Article 19 Suitability, FINRA 3010 Supervision, and other regulations
• Identifies interesting trading activity that may not be revealed through individual scenarios
• Highlight trades that warrant closer inspection through visual cues
• Extend compliance process efficiencies by increasing reviewer focus and productivity
• Increase customer satisfaction and loyalty

Quickly Generate Ad Hoc Alerts and Cases
Oracle Financial Services Trade Blotter serves as an accessory to core alert generation products. It provides a highly intuitive interface that can be manipulated easily to enable diverse trade review processes – without relying on disparate reports and database queries.

Firms that deploy the trade blotter functionality can quickly scan trading lists with visual cues highlighting trades that may warrant closer inspections. Powerful sort and search features enable reviewers to focus on trade subsets that fulfill user-defined combinations of relationship managers, customer characteristics, and other trade details.

Moreover, Oracle Financial Services takes the common trade blotter to a new level – as each trade is hyperlinked intelligently to any related alerts and cases generated previously by other Oracle Financial Services products that the reviewer is entitled to see. Coupled with the ability to quickly generate ad hoc alerts and cases for any discovered anomalies, the reviewer is equipped with an unprecedented means for exposing and managing trade and compliance risks.

“Future-Proof” Your Compliance Investment
Oracle Financial Services Trade Blotter operates within the Oracle Financial Services Crime and Compliance Management family of solutions, the first comprehensive set of applications to meet the particular needs of the financial services community. This solution comprises of Oracle Financial Services’ best-in-class risk and compliance behavior detection solutions for Anti Money Laundering, Fraud, Know Your Customer, and Energy and Commodity Trading Compliance applications. It surrounds these point solutions to provide and end-to-end solution that leverages a robust data model and
The following products are also available from Oracle Financial Services Analytical Applications:

- Oracle Financial Services Broker Compliance
- Oracle Financial Services Trading Compliance
- Oracle Financial Services TC/BC Analytics
- Oracle Financial Services Energy and Commodity Trading
- Oracle Financial Services ECTC Analytics
- Oracle Financial Services Personal Trading Approval
- Oracle Financial Services Anti Money Laundering
- Oracle Financial Services Fraud
- Oracle Financial Services Know Your Customer
- Oracle Financial Services Enterprise Case Management

Oracle Financial Services helps you to identify operational inefficiencies that increase noncompliance risks and overall compliance costs.

The unified Oracle Financial Services Financial Crime and Compliance family of applications helps you tackle today’s tactical risk and compliance problems while future-proofing compliance spending across regulatory mandates. By establishing a strategy to address risk and compliance initiatives, you can respond to changing business and regulatory conditions while leveraging existing business, functional, and technology components thereby improving the consistency and effectiveness of your data, increasing your business performance, improving your time to production and strengthening your competitive advantage: all while controlling your overall compliance costs.

About Oracle Financial Services Analytical Applications

Oracle Financial Services Analytical Applications bring financial institutions best-of-breed capabilities to proactively manage Financial Crime, Compliance, Risk, Treasury, Finance and the Front Office. The applications are built upon a commonly available analytical infrastructure consisting of a unified financial services data model, analytical computations, a Metadata driven "R" modeling platform, and the industry-leading Oracle Business Intelligence platform.

A single, unified data model and infrastructure provides one version of the analytical "truth" to business users throughout the entire enterprise. This enables financial services institutions to confidently manage performance, governance, risk and compliance. Shared data, metadata, computations and business rules enable institutions to meet emerging business and regulatory requirements with reduced expenses and the unified platform helps financial institutions to leverage existing investments.

CONTACT US

For more information about Oracle Financial Services Trade Blotter, visit oracle.com/financialservices or call +1.800.633.0738 to speak to an Oracle representative.