

PAC-INVEST

# Compliance Wise 2.0

Australian Trading Compliance Platform

2011



# Unified Trading Compliance

## One-window Compliance Management

Compliance Wise 2.0 ("CW") is being engineered so as to allow a one-window view across all compliance events and actionable tasks such as authorisations

## Paper free authorisation workflow

CW will aim to unify and streamline compliance functions with sophisticated workflow functionality. For example, a client service operator or IT personnel could create a request to increase client limit. This would appear in the Compliance Managers view. Once approved, the limit will be increased automatically in IRESS. All these changes will be appropriately audited in the CW database.

## Augmented compliance events data combined with IRESS data archiving

To alleviate a number of functional constraints in IRESS API, CW will download and archive all trade, order and audit data from IRESS. CW will maintain its own rich set of Compliance events data captured from its various consoles. Combined together, this will form a powerful tool for operational and compliance staff.

## Sophisticated search and ASIC reporting

CW will be able to perform very fast and accurate searches for orders and trades and augment this information with rich compliance event data from the CW database. This information will be used to produce reports in Excel or PDF formats

## Breach management

CW will finally bring together the DTR console functionality with Compliance control and a comprehensive breach management framework is proposed. This will ensure that all breaches are appropriately managed and those not managed can be followed up swiftly by the Compliance team. We believe that CW will be worth the price just for this feature alone.

## User, Account, Limit and Filter management

Complete template based, automatic creation and modifications of Users, Accounts, Limits and Filters in IRESS. This will mean the IT personnel will make valuable time savings, and all the changes can be controlled via workflow and will be completely auditable.

## An Australian First

*Traditionally, the stock broking compliance area has been completely ignored by the financial technology providers.*

*These are also times of unprecedented change in the Australian market. New execution venues, enhanced compliance obligations and a new regulatory environment call for technology that is on par with these requirements.*

*Compliance Wise 2.0 ("CW") will bridge this gap and become the first technology platform geared exclusively at the stock broking compliance.*

Compliance Monitor

Day and New  New Only

Select Event Filter

| DateTime          | Description                  | Event                     |
|-------------------|------------------------------|---------------------------|
| 9-Aug-11 10:01 AM | Aenean maecenas              | Account Change            |
| 9-Aug-11 10:03 AM | Nam aliquam integer mauris   | Account Change            |
| 9-Aug-11 10:03 AM | Class sed quisque            | Daily Limit Hit           |
| 9-Aug-11 10:03 AM | Vivamus praesent nullam cras | Daily Limit Increased     |
| 9-Aug-11 10:05 AM | Accumsan curae               | Filter Breach             |
| 9-Aug-11 10:06 AM | Aliquam donec dis            | Breach - Auth Pending     |
| 9-Aug-11 10:10 AM | Bibendum aptent etiam        | Breach - Order Approved   |
| 9-Aug-11 10:15 AM | Fusce duis nunc              | Daily Limit Increase Requ |
| 9-Aug-11 10:20 AM | Amet est lorem aliquet       | Filter Change Request     |
| 9-Aug-11 10:25 AM | Auctor dictumst              | User Change               |

Order & Trade Search    Attention    R

Sydney – Tokyo - Hong Kong

# PAC-INVEST

## **Financial technology, Business nuance**

PAC-INVEST provide financial technology consulting, software products and custom software development to the global financial sector.

Since our formation in early 2009, we have built a goodwill and following we are truly proud of. Our clients and partners are some of the most well known names in finance and stock broking.

We offer consulting and custom software development of cutting edge, market leading trading technologies to both the Buy and Sell side institutions in Australia.

(c) All Rights Reserved PAC-INVEST 2011

[www.pac-invest.com.au](http://www.pac-invest.com.au)



## PAC-INVEST

Level 57, The MLC Centre  
Sydney, NSW 2000

**P** +61 2 9238 1985

**E** [sales@pac-invest.com.au](mailto:sales@pac-invest.com.au)

[www.pac-invest.com.au](http://www.pac-invest.com.au)