

IRESS Canada Compliance

CONFIGURABLE BREACH AND LIMIT RULES

FULL TRADE AND CONTEXT AUDIT TRAIL


REAL TIME TRADE MONITORING

MARKET REPLAY

CONSOLIDATED TRADES

HIGHLY TARGETED SEARCH

CONSOLIDATED TIME & SALES



IRESS ENABLES COMPLIANCE PERSONNEL TO HAVE FULL VISIBILITY OVER TRADES, TRADE ACTIONS AND CONTEXTS, BOTH IN REAL TIME AND HISTORICALLY.

IRESS Compliance combines comprehensive trade and context auditing, highly configurable breach and limit rules, real-time trade monitoring, trade action review and analysis and search.

Highly configurable, these can be tailored to the workflow for each line of business, providing compliance personnel with the real-time and historical trade oversight tools they need.

Breach and Limit Rules

The IRESS OMS provides highly granular control over order flow and routing, as well as comprehensive breach limits and limit rule configuration. This allows the firm to establish very precise criteria for trade oversight and special handling, including real-time alerts and trade monitoring.

Auditing

A comprehensive oversight tool, the IOS Audit Trail tracks every action taken on an order, including those that are made directly in the market, those that are performed by an authorized operator or supervisor. All relevant information regarding both the trade action and the associated context is captured.

Real-Time Trade Monitoring

In addition to post hoc review via the Audit Trail, IRESS enables Compliance personnel to monitor trades and trade actions in real time for any firm user.

Market Action Replay

IRESS Market Replay provides a step-by-step history of all trade actions performed on a given stock, enabling compliance personnel to step through and retrace a trader's or firm's actions on a given security.

Trades

IOS Trades provides a consolidated view of all trades executed on a selected IOS and account.

Search

Supporting a broad range of highly targeted search criteria, IOS+ Search enables a trader to find all trades matching specific attributes, including trades, actions, status, as well as firm, trader and account info.

Time and Sales

IOS Time Series provides a consolidated history of security sales over a selectable time frame including day, week, month, quarter and year.

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Sydney +61 2 8273 7000	Singapore +65 6672 6288		Wellington +64 4 462 6850	Durban +27 31 203 7500
Brisbane +61 7 3011 4700				Cape Town +27 21 918 6640
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