EURONEXT SECURITIES

TradeLog

Employee Trade Monitoring Made Easy

A compliance solution aiding the monitoring of securities transactions, holdings and consents of your employees

Companies that operate in the financial market are required by law to report on employee trading to ensure public confidence in the financial markets. Any violation of the regulations must be reported to the authorities. Companies are also required to comply with internal policies and procedures and to monitor the personal transactions of employees in financial instruments.

TradeLog allows you to streamline your monitoring of employees' personal trading activity through electronic pre-clearance, screening list capabilities and automated rule checking. We help you reduce the time you spend on managing your employee trading while ensuring you remain compliant with the latest regulations, guidelines and internal procedures.

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FEATURES

- Fully digitised application process for pre-clearance of trades
- Easily configure dozens of rule combinations to automate trade reviews based on firm's policies
- Fully digitised case management system for compliance
- Automated surveillance and notifications of violations
- Standard and customised reports (e.g violation log, reports to authorities)
- Automatic approval or rejection of applications based on pre-set parameters
- Blocking of applications based on pre-set parameters

Tradelog Compliance Portal

Take control of your employees' trading and holdings. Our user-friendly dashboard gives you a complete overview of all applications and violations by your employees – reducing the risk of fines and meaning you can spend less time on investigation into different kind of violations.
Our dashboard shows you:

APPLICATIONS PENDING

You can easily process applications and request additional input from the employee or other parties in the company.

UNRESOLVED VIOLATIONS

Notifications of violations are sent automatically to the compliance officer and to the employee. When processing the violation, the portal can store all necessary documentation related to the case.

MISSING CONSENTS

See instantly if there are any missing consents from employees or their related parties.

PENDING MESSAGES

Easy-to-use communication functionality ensuring transparency and access to all information when needed.

FEATURES

- Fully digitised application process for pre-clearance of trades
- Seamless administration of consent, holdings, roles, and related parties
- Communication channel with the firm's compliance department: employees receive information about blackout periods, prohibited trades
- Automated surveillance and notification of violations
- The system helps employees ensure they operate in full compliance with regulatory requirements and company policies.

Employee Portal

Five easy steps for employees to complete personal compliance:

STEP 1
ACCEPT FIRM POLICY

A mandatory requirement in order for the employee to gain access to the application

STEP 2
CONSENT FOR MONITORING TRADING ACTIVITY

The employee gives the employer the ability to track their consent, but not to modify it

STEP 3
ADD RELATIONS

Employees can add related parties or companies. These should be provided and maintained manually according to the policy defined by the employer

STEP 4
ADD SECURITIES WITH ISIN

The employee's holdings in securities, or those of the employee's related parties, will be automatically updated for all securities that are held on a personal securities account with Euronext Securities Oslo and Euronext Securities Copenhagen.

STEP 5
ADD SECURITIES WITHOUT ISIN

Any securities owned by the employee or the employee's related parties will require manual maintenance

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