



# SIGHTSPAN

## SightSpan Trading Compliance Services

SightSpan provides compliance consulting services to address institutional, retail, employee, and MiFID (Markets in Financial Instruments Directive) monitoring and surveillance using a holistic and risk-based approach. Our professional team is capable of producing work product in multiple languages and is well positioned to work both remotely or on-site with your team.

### A Firm You Know, People You Trust and The Expertise You Can Count On.

#### Trading Compliance Program Highlights:

- Establish and/or enhance Institutional Surveillance and comprehensive Compliance programs for sales and trading practices and control room surveillance across all business lines and products including scenario reviews and tuning
- Establish and/or enhance Retail Surveillance addressing organization-wide Know Your Customer and Suitability requirements
- Establish and/or enhance Employee Surveillance including conflicts of interest, policies, and trading fraud detection programs
- Review, create and analyze transactions rules mapped to meet the organization's employee trading policies and procedures
- Establish and/or enhance MiFID Surveillance programs to ensure complete compliance with MiFID. This initiative addresses best execution, suitability, client order handling, transaction reporting and conflicts-of-interest

#### Risk Assessment ~ Auditing ~ Independent Testing ~ Quality Assurance

- Provide Independent Testing and Auditing of AML and Compliance Programs
- Evaluate Existing Risk Models; Enhance and Design New Methods of Evaluating Risk
- Incorporate Best Practice Methodologies Focused on Quality Control and Program Maintenance
- Provide Assessment and Reviews Based on Risk for Private Sector and Government Agencies

#### International Sanction Programs

- Create Sanctions Program Repository
- Enhance Existing Sanctions Program Design; Incorporate Risk Decision Processes
- Establish/Enhance Filtering and Surveillance Processes

#### Compliance Training

- Complete Training Programs Focused on Local, Regional and International Regulations
- Customized Training Across Compliance Programs
- Web Based Training programs designed to meet individual company program and risk

#### Compliance Technology Portfolio Management

- Compliance Technology Portfolio Management
- Design Strategic Risk-based Roadmaps for Compliance Technology Programs
- Perform Current State Technology Reviews; Establish and Enhance Reporting Processes
- Provide Vendor Requirements Gathering Processes, Review and Selection, Installation and Product Upgrades

#### Process Re-engineering and Cost Management

- Provide Process Improvement Expertise: Six Sigma and Lean Processing Strategy Specialists

SINGAPORE

NEW YORK

MOORESVILLE

MIAMI

DUBAI

[www.SightSpan.com](http://www.SightSpan.com) · NC TEL: 704.663.0074 · NY TEL: 212.849.6901 · [info@sightspan.com](mailto:info@sightspan.com)