








Personal Trading Compliance

Know Your Employee (KYE®)

Effectively capture, monitor and report on employee personal trading activities

When employees have access to sensitive information, there's a risk that they can exploit that knowledge for personal gain. Financial services firms must have processes in place to ensure that employee personal trading activity follows the company's Code of Ethics Policy and meets regulatory standards of fiduciary duty.

MCO's Personal Trade Manager offers an automated solution that effectively captures employee personal trades and automates preclearances to help identify potential conflicts of interest.

-  Simplify the employee trade preclearance process
-  Automate the capture of trade confirms from brokerages and other sources
-  Monitor trading activities against restricted lists and insider trading regulations
-  Configure rules and groups to run against clearance requests
-  Check employee trade activity for front-running and tailgating
-  Provide a complete audit history of preclearances and order attempts
-  Uncover patterns of problematic trading activity

Data to Verify Employee Trading Activity

With Personal Trade Manager, firms can capture 100% of employee trading and holding data through a variety of methods, including automated brokerage feeds, Optical Character Recognition (OCR), manual entry, and online access. These flexible data capture options ensure comprehensive oversight and data accuracy, supporting a thorough compliance process.

Personal Trade Manager makes the preclearance and disclosure process easy for both employees and the compliance team with an intuitive interface, electronic data capture and a robust rules engine. Firms can streamline personal trading compliance with a holistic view of employee trading and holding data, allowing compliance to:

- ✔ Capture 100% of employee trading and holding information via multiple capture methods including brokerage feeds and OCR
- ✔ Execute a wide variety of preclearance and post-trade rules
- ✔ Manage attestations and disclosures across user accounts, trades and holdings.
- ✔ Monitor trading and holding data for each review period on all accounts.
- ✔ Generate alerts to flag potential conflicts of interest

Part of a complete Employee Compliance Solution


MCO's Personal Trade Manager solution is part of the Know Your Employee (KYE®) suite, an integrated solution that manages personal trading, outside business activities, gifts and entertainment, political donations, attestations and other areas of employee compliance.

Integrated Compliance Management

Know Your Employee is part of the MyComplianceOffice integrated platform that automates compliance programs for supply chain and third-party operations (Know Your Third Party® KYTP®), transaction surveillance compliance (Know Your Transactions KYT®) and compliance oversight (Know Your Obligations® KYO). These interconnected suites with a centralized data center comprehensively and cost-effectively minimize the risk of misconduct and conflicts of interest while providing evidence of regulatory compliance.

With offices and support across the United States, Europe and Asia Pacific, we help firms of all sizes ensure compliance and meet evolving regulatory needs quickly and affordably. Contact us today to learn more.

Contact MCO today to find out how we can help your organization meet evolving regulatory needs and ensure compliance oversight quickly and affordably.



MCO (MyComplianceOffice)® provides compliance management software that enables companies around the world to reduce their risk of misconduct and effectively oversee regulatory obligations.

Our powerful platform lets compliance professionals demonstrate they are proactively managing the regulated activities of the company, employees and third-party vendors and provide evidence of regulatory compliance. Available as a unified suite or à la carte, our easy-to-use and extensible SaaS-based solutions get firms up and running quickly and cost-efficiently.