




Firm Trade Surveillance

Bring automation, time savings, and transparency to your firm trade surveillance process.

Manual firm trade surveillance is a thing of the past. Reviewing trades against watch and restricted lists is essential—but manual processes are slow, error-prone, and unsustainable. Star's Firm Trade Surveillance solution automates and streamlines this workflow, so reviewers can focus on resolving flagged activity, not hunting for it.

Why Choose Star?

- 
Faster reviews:
Automation eliminates individual manual trade review and flags concerning trades in real-time.
- 
Wider search radius:
Matches are detected at the parent and ultimate company restriction levels, preventing front-running and policy violations before they escalate.
- 
Centralized surveillance:
Manage firm and employee trade surveillance from one, centralized system for a more comprehensive risk mitigation approach.

Core features that drive results:

> Automated, enriched surveillance

- Trades are enriched with any missing identifiers, as well as adding the parent and ultimate parent to the record to ensure a comprehensive search.
- Firm trades from your Order Management System (OMS) are compared to watch and restricted lists in seconds, eliminating manual review.
- Matches are detected at both the parent and ultimate company restriction levels and surfaced to compliance for review.

> Flexible rule configuration

- Configure risk tolerance rules to reduce unwanted noise and focus on what matters most.
- Re-evaluate past trades when new watch and restricted list items are added.
- Enable lookback logic to check past trades when watch or restricted list items are backdated.

> Centralized risk management

- View all trade and restriction details in one place—no more bouncing between disparate systems.
- Manage both firm trade monitoring and employee insider trading detection from one solution.
- Utilize Star's Case Management system to investigate flagged trades, document findings, and establish an audit trail.

With Star, your team gains more than just automation—you gain control. By eliminating manual review, enriching surveillance data, and centralizing oversight, you can streamline compliance workflows, reduce risk, and respond faster to potential issues. It's a smarter, more scalable approach to firm trade surveillance—built for the demands of today's regulatory landscape.



About StarCompliance

StarCompliance is the world's leading provider of employee compliance technology solutions. Trusted for over 25 years by millions of users in 114 countries, StarCompliance Enterprise provides a user-friendly interface that delivers the data, technology, and actionable insights needed to proactively mitigate risk, monitor conflicts globally, and support complex whistleblowing regulations. Visit www.starcompliance.com to discover the comprehensive security and unparalleled assurance you need to build a culture of compliance today.



w: starcompliance.com
e: info@starcompliance.com

