CCH® Examiner

Powering Personal Trading Surveillance & Compliance

Wolters Kluwer
Financial Services

Key Software Highlights:

- Monitor and track employee trading
- Import electronic confirmations directly into the system
- Various standard and custom certifications available
- Easily integrates with any trade order management system for real-time testing
- Over a thousand reporting combinations and output
- Allows for multi-tiered approval processing

Automate your employee personal trade surveillance process with the industry's most powerful personal trade surveillance software.

One of the chief concerns of compliance officers today is the difficulty of monitoring personal trading activities of employees in accordance with best practice and industry regulations, such as SEC Rule 17j-1 and Rule 204A-1. CCH Examiner, the industry's pioneering solution, automates the surveillance process and enables your firm's compliance department to effectively monitor employee personal trading activity.

As part of Wolters Kluwer Financial Services, CCH Examiner is a critical component in our powerful suite of compliance products and solutions. From our policies and procedures manuals to a wide range of regulatory and exchange guides, CCH Examiner adds another level of confidence in building and controlling your firm's compliance program.

The outcome is an efficient process that reduces manual procedures, increases productivity, and mitigates regulatory and reputation risks for your firm.

Features and Benefits

User-Friendly Preclearance Interface

Employees can easily request permission to trade through our browser-based preclearance form. The system automatically tests the request against the firm's code of ethics rules. Requests are approved or denied in real time or can be automatically forwarded to compliance for further review. In addition, the Examiner platform allows for multi-tiered level of approvals and processes to fit requirements of most broker-dealers and financial institutions.

Supervisory Review Utility

Our alternative module accommodates a firm's internal procedures in requiring reviews of employee trade preclearance by associated managers. As an added measure of security, key managers also have the ability to maintain separate restricted lists applicable to specific employee groups.

Flexible and Real-Time Rules Testing

Built-in rules meet regulatory requirements, such as SEC Rule 17j-1 and Rule 204A-1. Additional custom rules can be created to meet any unique requirements of your firm. All rules canbe easily configured to apply to specific employee groups or to use different settings or parameters for each group.

Automated Confirm and Holdings Processing

Our automated import, reconciliation, and testing processes eliminate the manual and tedious procedures typically associated with receiving, reviewing, and archiving trade

confirmations. Moreover, our system is designed to accept a wide variety of electronic feeds and formats—eliminating any integration issues.

Initial, Quarterly, and Annual Certifications

Built-in on-line certifications include holdings, transactions, brokerage accounts, and code of ethics, as well as initial certifications. For subscribers with specific requirements, the system generates custom certificates that allows for your compliance needs to track transactions and events, such as gifts and entertainment and outside affiliations.

Automatic Memo Distribution

Using our eMemo feature, managers can develop various memos and purposes—such as certification reminders—which can be set up and scheduled for delivery to employees. Also included is our easy-to-use capability to send 407 letters manually or automatically when an employee enters a new brokerage account through iTrade.

Robust Reporting Capabilities

Comprehensive reporting capabilities allow compliance staff to view, filter, and sort all of the system's critical historical data and present it in suitable formats for internal or auditor review. In addition, analytic reports allow users to do after-the-fact testing of the firm's rules and look for patterns of questionable behavior. All reports can be exported to Microsoft® Excel®, Adobe® PDF, and other commonly accepted formats. As part of the system's flexible reporting capabilities, CCH Examiner can schedule and generate specific report outputs using the batch report scheduler feature.

Industry-Leading Technology

Our technology is based on a standard Microsoft .NET architecture and SQL Server database. The system can receive data feeds from all major trading systems, portfolio accounting systems, and human resources databases.

World-Class Service and Support

Our client services team has successfully deployed Examiner in many of the country's most prominent investment firms. The CCH Examiner team provides hands on support both during and after the implementation process. As part of our commitment to bring our clients up to speed on the latest product features and tips, we host an annual user conference that allows our clients to engage and exchange with fellow CCH Examiner clients (additional costs apply).

To learn more details, please call us at 212-894-8691 or e-mail us at
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