








7 CRITICAL TRADE SURVEILLANCE ALERTS

Trade surveillance is essential for protecting firms and clients from fraud and unethical practices. Here are seven key areas your firm should prioritize to stay compliant and secure.

- 1 Trades**  Flags **suspicious** trading patterns. Maintains an **audit trail** and highlights abnormalities.
- 2 Licenses & Appointments**  Tracks **renewals** and ensures compliance. Reduces **Not in Good Order (NIGO)** exceptions.
- 3 Data Changes**  Ensures account and trade **consistency**. Monitors for suitability based on **client risk tolerance**.
- 4 Address Changes**  Flags **missing, inconsistent, or reused** addresses. Helps detect **fraud** and **abuse**.
- 5 Orders**  Monitors **compliance** in the order book. Organizes **complex orders** effectively.
- 6 Accounts**  Tracks large balance **changes** or **excessive** activity. Flags potential **fraud** risks.
- 7 Sales**  Detects unusual sales patterns or **insider trading**. Improves **customer service** through account insights.

Automate your trade surveillance today. Stay compliant.

Visit docupace.com/surveillance-compliance to get started.

