



**EURONEXT SECURITIES**

# TradeLog

## Employee Trade Monitoring & Conflict-of-Interest Compliance

**TradeLog** is a secure, web-based compliance platform developed and delivered by Euronext Securities Oslo. It enables organizations to effectively monitor employee trading in financial instruments, manage ownership and external roles, and identify potential conflicts of interest involving employees, suppliers, and clients – all within a single, auditable system.

Operating in regulated environments requires strong oversight to protect market integrity, public trust, and regulatory compliance. TradeLog supports these requirements through a fully digitized, automated, and end-to-end compliance process that replaces manual workflows and fragmented systems.

### What TradeLog Delivers

TradeLog provides comprehensive coverage of the employee trading and conflict-of-interest lifecycle:

- Pre-clearance of employee trades and roles
- Automated monitoring of transactions and activities
- Conflict-of-interest checks in procurement and client processes
- Integrated investigations, case handling, and reporting
- Full audit trail supporting internal controls and regulatory reviews

The platform automatically identifies reportable relationships and conflicts that may otherwise go undetected, enabling proactive risk management with measurable efficiency gains.

# Enterprise-Wide Control and Transparency

Employees report shareholdings, board memberships, external roles, relationships, and personal trading activity through an intuitive user portal. Embedded rules and workflows ensure consistent application of internal policies and regulatory requirements.

Potential conflicts and deviations are flagged automatically, with real-time alerts to Compliance and administrative teams – strengthening governance, reducing operational risk, and ensuring consistent oversight across the organization.

## Extended Oversight and Market Applicability

TradeLog supports monitoring of both employees and their related parties, providing enhanced visibility into indirect dependencies and affiliations. Structured reporting supports Compliance, executive management, and boards.

**The solution is suitable for:**

- Financial market participants
- Client-based professional services firms (e.g. legal and accounting)
- Public and private enterprises with procurement and sourcing activities
- Governmental and political institutions

Direct integration with employee accounts at Euronext Securities Oslo and Copenhagen enables automated verification of executed trades against approved activity.

## Secure, Scalable, and Regulation-Ready

**TradeLog is delivered as a modern SaaS platform with:**

- Easy onboarding
- Flexible configuration aligned with internal policies
- Seamless integration with employee accounts at Euronext Securities Oslo and Copenhagen
- API-based integration with enterprise systems

The platform is designed according to privacy-by-design and data-minimization principles and is fully aligned with GDPR. TradeLog is ISO 27001 certified and complies with the Digital Operational Resilience Act (DORA). Compliance is supervised by the Norwegian Financial Supervisory Authority (Finanstilsynet).

# Why TradeLog?



## Digital pre-clearance

Electronic trade approval workflow.



## Automated surveillance

Detect violations instantly using rule-based checks.



## Compliance by design

Built to support regulatory and internal policy requirements.



## Case management

Structured investigation and documentation.



## Full transparency

Complete audit trail for regulators and auditors.



## Policy enforcement

Consistent application across all employees and related parties.

# What you get

- Digital pre-approval application process
- Automated monitoring of executed trades
- Rule-based policy engine
- Violation alerts and notifications
- Case management system
- Employee & related-party monitoring
- Standard and customized compliance reports
- Secure online access
- Integration with Euronext Securities Oslo and Copenhagen accounts

# Typical use cases



## Compliance

Employee trade approvals  
Policy enforcement  
Surveillance & alerts



## Operations

Violation investigations  
Workflow automation  
Documentation



## Governance

Regulatory reporting  
Internal audits  
Risk oversight

# Who uses it

Compliance  
officers

Risk  
managers

Operations  
teams

Legal & HR  
teams

## Access & delivery

**Access:** Secure web-based platform

**Integration:** Employee accounts at Euronext Securities Oslo and Copenhagen

**Availability:** Continuous

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TradeLog is part of Euronext's compliance and market integrity solutions for financial institutions and listed companies.