

USE THE INDUSTRY'S MOST POWERFUL MULTI-ASSET TOOL TO PROTECT YOUR FIRM AND YOUR OWN REPUTATION FROM A LONG LIST OF POTENTIAL LIABILITIES

EQUITIES AND FIXED INCOME COMPLIANCE OVERSIGHT FOR BOTH THE BUY-SIDE AND SELL-SIDE.

Compliance+ offers a comprehensive and versatile set of features to help firms comply with data-driven regulations within the global trading landscape.

Comprehensive global coverage across all fixed income asset classes including credit, rates, municipals, mortgages, structured products, and bank loans.

Reports

- Rule 606 (Order Routing)
- Rule 605 (Order Execution)
- Spoofing and Layering
- Limit Up/Limit Down (Market Volatility)
- Short Sell (Uptick Rule)
- Intermarket Sweep Orders (ISO)
- Order Protection (Trade Through)
- Snap Quote (Latest Market Quotes)
- Front Running
- Marking the Close
- Mark up Mark down
- Cross Trades
- Window Dressing
- Unapproved Brokers
- Allocation Price Difference
- Insider Trading w/Dow Jones Newsfeed
- And Many More...

TRADE SURVEILLANCE COMPLIANCE+

Case	Exceptions	Unreviewed	Reviewed	Prin /K	View	Report
Mark Up/Mark Down	2	2	0	363	View	Report
Limit Up/Limit Down	0	---	---	---	View	Report
Circuit Breakers (Alternative Uptick Rule)	2	2	0	135	View	Report
Intermarket Sweep Orders (ISOs)	1	1	0	13	View	Report
Order Protection (Trade-Through)	0	---	---	---	View	Report
Wash Trades	1	1	0	93	View	Report
Trading Halts	0	---	---	---	View	Report
Marking The Close	2	2	0	50	View	Report
Borrowing and Delivery Requirements	1	1	0	14	View	Report
Spoofing & Layering	0	---	---	---	View	Report
Unapproved Brokers	1	0	0	22	View	Report
Cross Trades	0	0	0	0	View	Report
Commission Exceptions - US	1	0	0	143	View	Report
Commission Exceptions - INTL	1	0	0	208	View	Report
Highest Cost Trades By Entry	0	0	0	---	View	Report

Compliance+ Dashboard

Compliance+ Features:

- Centralized, web-based solution with over 90 measures
- Easy-to-use dashboard functionality to match your unique work flow
- Drill-down features available in graphical form to view orders and individual fills
- Threshold settings can be custom calibrated to avoid false positives or repetitive alerts
- Resolution of alerts automatically memorialized
- Critical trade data (including market data points and notes) recorded in a long-term repository allowing compliance and regulatory review
- Large library of presentation-quality compliance reports with customizable delivery options available on-demand, scheduled, or delivered by email

Regulatory Reporting

- Scalable platform to support regulatory evolution
- Next-day notifications and custom data sets
- Notes field and task manager functionality to memorialize historical compliance actions
- MiFID II European regulatory equipped

Trade Surveillance

- Dashboard identifies manipulative or illegal trading activity and provides transactional context
- Offers granular performance data for individual traders
- Complex metrics reveal short sell, ISO and HFT activity
- Custom reporting options are available to meet specific requirements

Abel Noser Solutions, an industry pioneer, has been a proven leader in multi-asset Trade Cost Analysis solutions for over three decades. Over 500 clients worldwide subscribe to our TCA and compliance products through a network of re-sellers, distribution partners, and strategic alliances.