

MULTI-ASSET TRADE SURVEILLANCE

COMPLIANCE+
FOR EQUITIES & FIXED INCOME
GLOBAL COVERAGE - UNMATCHED FLEXIBILITY
FOR THE BUY-SIDE & SELL-SIDE

IMPROVE TRADING OVERSIGHT, SUPPORT BEST EXECUTION

Compliance+ offers a comprehensive and versatile set of features to help you identify potential trade irregularities and manage a robust oversight process.

2021 Best-in-Class Global TCA Provider - Aite Group
2020 Top Global Fixed Income TCA Provider - Greenwich Associates
2020 Best Global Trade Analytics Provider - CV Magazine

Abel Noser Solutions, the leading independent trade analytics and regulatory solutions provider, has served the institutional investment community since 1975.

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INNOVATIVE EQUITIES AND FIXED INCOME COMPLIANCE

TRADE SURVEILLANCE FOR BOTH THE BUY-SIDE AND SELL-SIDE

Compliance+ offers a comprehensive and versatile set of features to help firms comply with best execution mandates and global oversight.

Asset Class Coverage

Compliance+ offers comprehensive **global coverage** across all equities and fixed income asset classes

Reports - Rules

Buy and Sell-Side

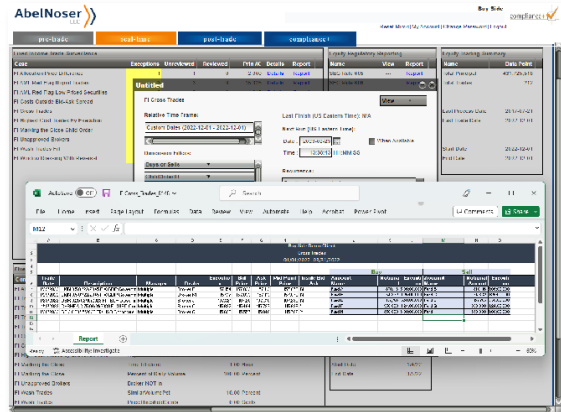
- Execution Transparency
- Front Running
- Marking the Close
- Mark up Mark down
- Trades Outside the Bid-Ask Spread
- High Cost Trades by Execution Time

Buy-Side Specific

- Cross Trades
- Window Dressing
- Unapproved Brokers
- Allocation Price Difference
- Trading in Illiquid Securities
- Trading in Low Priced Securities
- Wash Trades

Sell-Side Specific

- Spoofing and Layering
- Limit Up/Limit Down (Market Volatility)
- Snap Quote (Latest Market Quotes)
- And others ...



ESSENTIAL TRANSPARENCY FOR ACCURATE AND COMPLIANT EXECUTIONS

Feature-Rich Capabilities

Web-Based Product

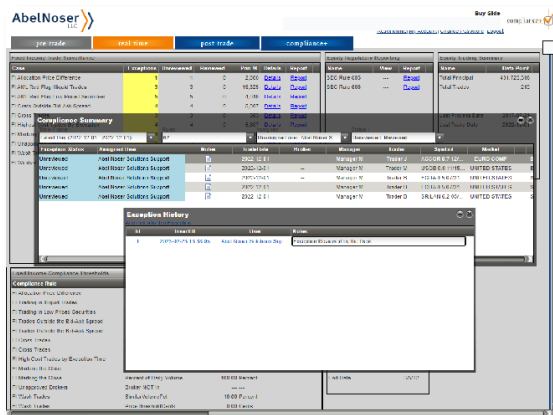
- Centralized solution with over 90 measures
- Easy-to-use dashboard functionality to match your unique work flow
- Drill-down features available in graphical form to view orders and individual fills
- Threshold settings can be custom calibrated to avoid false positives or repetitive alerts
- Dashboard identifies illegal trading activity and potential compliance violations and provides transactional context
- Offers granular performance data for individual traders

Audit Ready Tools

- 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
- Scalable platform to support evolving regulatory standards
- Next-day notifications and custom data sets
- Notes field and task manager functionality to memorialize internal reviews
- Supports MiFID II compliance needs

WORLD CLASS CLIENT SUPPORT AND CUSTOMIZED REPORTING

- On-demand generation of reports
- Schedule reporting to run as needed or at given interval, or when data is available
- Reports can be sent via email to an individual or group as Excel or PDF file attachments
- Custom Report Builder allows users to generate fully customized reports on-demand
- Real-time visibility of all trading decisions and routes
- Customized report creation is available at no additional charge



Turning Trading Insight Into Action