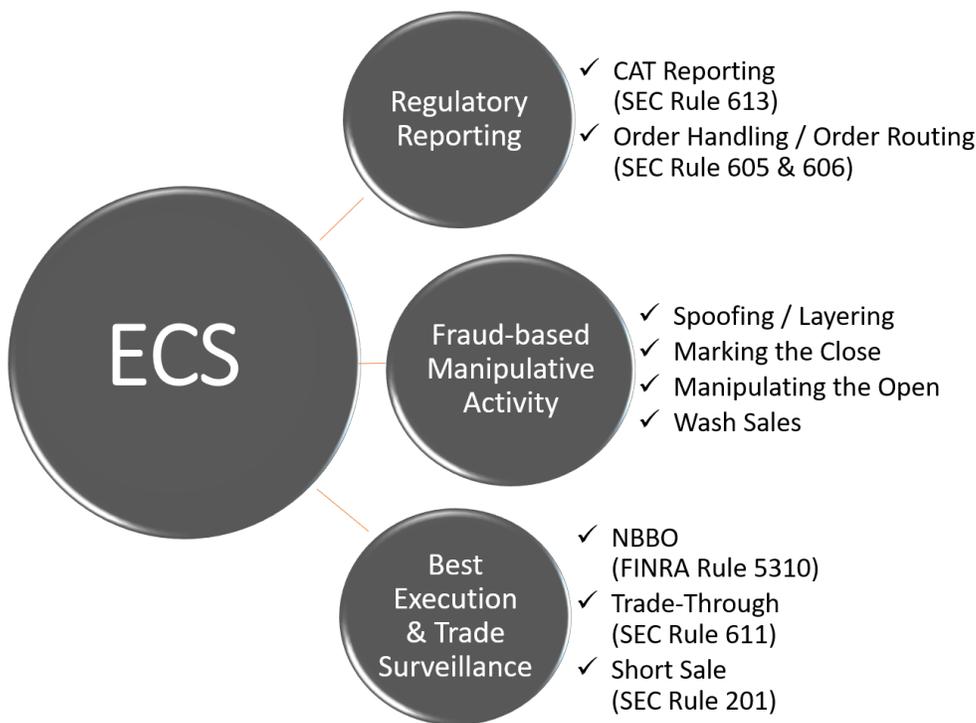




# EXECUTION COMPLIANCE & SURVEILLANCE (ECS)

ECS helps firms evaluate and demonstrate their performance in monitoring for market abusive activity as well as providing regulatory reporting pursuant to the SEC's Consolidated Audit Trail (CAT) requirements and SEC Rules 605 and 606 (order handling and routing).



## ECS Key Features:

- Customizable dashboard
- Full case management functionality
- Hosted by Amazon Web Services (AWS)
- Configurable offering - ability to select only the modules needed

ECS enables clients to monitor the effectiveness of their required policies and procedures. Equally important, ECS provides detailed records to demonstrate the firm's commitment to ongoing compliance and surveillance.

To receive additional information or to schedule an ECS demo please contact:

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