

## **Jordan & Jordan's ECS Delivers Proactive Compliance Tool**

New York, NY – June 10, 2014 – Jordan & Jordan's cloud-based compliance service, Execution Compliance and Surveillance Solution (“ECS”), has enhanced its features to provide clients an efficient and cost savings capability to retrieve order and execution records. The service upgrade provides clients the ability to quickly and efficiently query orders, receive reports of all execution activity for a specified client, proactively manage flagged records and email record details to colleagues. ECS users need to be able to quickly respond to an examiner's request and easily provide the relevant information - ECS's new features provide that functionality.

ECS's new inquiry tool allows users to quickly view their full order-flow information from an order's creation to execution and/or cancellation, and allows users to see relevant compliance records. Users have the ability to access order and execution information based on a number of criteria including date, symbol, order identifier, and order type. ECS provides the detailed records to demonstrate a firm's commitment to ongoing proactive surveillance.

The Client Focus module of ECS allows users to receive a report of all execution activity for a given client of their firm. These reports can be automatically generated on a daily basis, or produced ad-hoc for more specific inquiries which allows for a rapid response to any regulatory request. In addition, the system allows you to email the details of each record for informational and follow-up purposes.

Additionally, ECS provides users the ability to flag a record for further review. The new feature allows users to proactively manage their flagged records. ECS delivers a flagged record notification on the homepage to remind the user of previously flagged records that require further review or action. This report can also be delivered via email to users at specified intervals to remind them of outstanding tasks.

The new ECS features allow the users of ECS to quickly respond to an examiners' request for information, and easily demonstrate proactive surveillance and compliance with SEC and FINRA rules. ECS was created to assist firms in demonstrating their compliance related to Reg NMS, Short Sale Amendments, and execution quality. ECS provides analysis for the following: Limit Up-Limit Down (SEC Rule 608), Best Execution/NBBO (FINRA Rule 5310), ISO Order Routing and Quote Analysis with respect to the Order Protection Rule (SEC Rule 611), Reg SHO (SEC Rule 201) and Disclosure of Order Execution and Routing Information (SEC Rules 605 & 606). All ECS modules provide both summary statistics and detailed views of each day's transactions as well as analytical charts and filtering capabilities.

To learn more about ECS and/or the new service enhancements, contact Michael O'Connor at [conor@jandj.com](mailto:conor@jandj.com), +1 212-655-2953.

### **About Jordan & Jordan**

Jordan & Jordan ([www.jandj.com](http://www.jandj.com)) is a FinTech company that uses their domain and technology expertise to provide services to the securities industry through three practices: Management Consulting & Regulatory Compliance, Market Data, and Industry Solutions. Jordan & Jordan's client roster includes investment banks, asset managers, information vendors, global stock and derivative exchanges and industry associations, i.e. Financial Information Forum (FIF), FIX Trading Community, RIXML. Jordan & Jordan has offices in New York, Chicago, and London. For additional information, please visit:

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