



IMPROVING TRUST

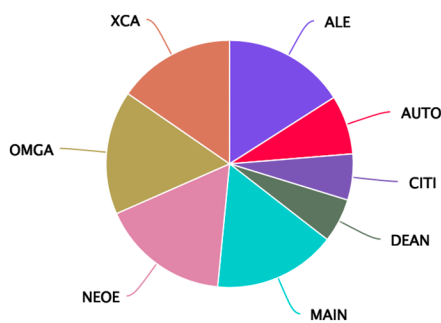
Regulatory Reporting Suite

Advanced analytics tools for SEC Rules 605, 606, 611 and Regulation SHO.

S3's Regulatory Reporting Suite allows clients to conduct more **DETAILED ANALYSIS** on those metrics required for SEC Rule 605 and 606 reporting, further **VALIDATING** the data that they submit to regulators. The portal allows firms to analyze their data at both summary and detailed levels, providing a greater level of **ACCURACY**, as customers can now drill down to a granular level of analytical detail to verify their data and comply with the reporting requirements.

CLIENTS UTILIZING THE S3 REGULATORY PORTAL FOR RULE 611 ANALYTICS CAN:

- View and analyze all historical trade-throughs, better enabling them to avoid the practice.
- Scan every trade and flag those that were executed outside the NBBO, for both options and equities.
- Monitor their own executions for any trade through occurrences, including any exceptions under Rule 611.



KNOW AT A GLANCE where your orders are being executed

S3'S REPORTING TOOLS FOR REGULATION SHO, OR REGSHO, ALLOW CUSTOMERS TO:

- View the full list of short-sale restricted securities in the market, and to identify stocks on this restricted list that trade on either a downtick or an uptick.
- Identify those specific executions during which a downtick occurs.
- Analyze reports identifying any restricted short-sales occurring in each client's own executions.

Due to the exemptions to RegSHO, monitoring every security and trade that has violated the regulation can be difficult. The **HOLISTIC INTELLIGENCE** provided by S3's RegSHO analysis software simplifies the information-gathering process so clients can avoid short-selling restricted stocks, and thereby remain in full compliance with regulatory requirements.

S3's analytical tools for Rules 605, 606, 611 and RegSHO significantly **REDUCE RISK** by improving regulatory reporting capabilities. The highly customizable Regulatory Reporting Suite allows customers to navigate increasingly complex regulatory requirements, ultimately **IMPROVING TRUST** in the securities industries.

6500 River Place Boulevard
Building II Suite 306
Austin, Texas 78730
512-329-3245

www.S3.com