



IMPROVING TRUST

Trade Surveillance Suite

Monitor trading for a variety of restricted behaviors across multiple asset classes, including market manipulation and other trade-based violations

S3's Trade Surveillance Suite (TSS) simplifies monitoring for a variety of restricted behaviors across multiple asset classes, including **MARKET MANIPULATION** and other trade-based violations without requiring customers to compromise on regulatory obligations.

The S3 TSS **AUTOMATICALLY MONITORS TRADE ACTIVITY** for a wide range of prohibited or restricted activities, including, but not limited to:

- Spoofing
- Layering
- Marking the close
- Trade-through
- Restricted short selling
- Equity-options manipulation
- Wash sales
- Painting the tape

The S3 Trade Surveillance Suite is **COMPLETELY CONFIGURABLE**, making use of a powerful interface that

allows users to identify and address regulatory and compliance issues while **REDUCING BOTH FALSE POSITIVES AND FALSE NEGATIVES**. Alert and rule parameters can be effortlessly reconfigured, back-tested rapidly and the desired period rerun for comparison so that users can optimize settings quickly and easily.

Additionally, the S3 TSS consolidates all surveillance results into a single dashboard, putting all of the relevant information at users' fingertips. The dashboard allows for at-a-glance determination of the status of all surveillance activities, tracking results and allowing for **EFFICIENT MANAGEMENT** of alerts and reports.

If a discrepancy is found, the TSS creates an audit trail automatically, including all settings

used to identify the issue. The audit trail is managed through a fully **CUSTOMIZABLE WORKFLOW** that allows clients to log all actions taken to resolve the issue. During investigation or once the issue is resolved, the audit trail can be easily exported, **FACILITATING COMPLIANCE** and **IMPROVING TRUST** between parties.

The S3 Trade Surveillance Suite is a premium **ALL-IN-ONE SOLUTION** that provides a one-stop-shop for regulatory reporting, enabling clients to simultaneously reduce vendor overhead, simplify workflows and improve compliance.

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