

## Markets Compliance and Regulatory Solutions

Market participants are challenged to keep pace with expanded products, volumes, speed, and steadily changing regulatory demands such as order protection, ACT, OATS, CATS, Large Trades by multiple regulators. Shortened windows for performing regulatory reporting and trading compliance activities across multiple trading venues add yet more complexity. Large stores of compliance data provide a trove of information which can be accessed through pattern recognition and analytics for other business uses throughout the enterprise. Katahdin's services help businesses address compliance and regulatory needs as a complementary, value-added core operating capability.

## Services

Katahdin Solutions helps companies identify and evaluate regulatory challenges, develop strategies and plans for improvement, define efficient operating frameworks, and implement solutions to address critical near term needs while enabling ongoing strategic operating flexibility. These services include:

- Compliance technology transformation services and process management design
- Regulatory interpretation gap analysis, impact assessment, and planning
- Compliance solution definition, design, product selection, development and implementation
- Consolidated regulatory and compliance reporting, pattern recognition, and data analytics solutions
- OATS and EBS rejects analysis and corrective action assessment
- Wells Notice analysis, corrective action and response assistance
- Ongoing assessment, audit, testing and advisory

## Why Katahdin

With our unique background in legal, compliance, audit, electronic markets, and information technology solutions, Katahdin's consulting team has in-depth experience with all dimensions of today's regulatory and compliance challenges. Our combination of hands-on diagnosis, regulatory awareness, markets expertise, and technology savvy provided by a trustworthy, professional team make a valuable complement to our customer missions.

## Client Successes

Katahdin's consulting team has been engaged over one hundred regulatory and compliance efforts. Some examples of our work include:

- Regulatory Reporting Assessment and Audit
- NYSE Reg. Requirements and Planning
- Legal and Compliance Data Warehouse PMO
- Reg. NMS Initiative PMO
- Security Office Case Management PMO
- Order Activity Compliance & Data Repository
- Products Evaluation: Norkom and Actimize
- Trade Compliance Rules Engine
- IOI Product OATS Reporting Tool Development

***Through information technology and advisory services, Katahdin Solutions helps organizations achieve greater efficiency and value from their project delivery and compliance initiatives.***