

## Subject Matter Expertise

### NYSE OTS Requirements and Planning

A large broker dealer was faced with implementing solutions to address New York Stock Exchange OTS trading activity capture and regulatory reporting. The firm needed expertise to capture requirements, define a solution, and plan the effort for implementing required capability.

#### Approach

A Katahdin Solutions consultant led an analysis team using a methodical approach to capture requirements and plan the effort for implementing an OTS activity reporting solution. Our consultant:

- Analyzed evolving OTS requirements and worked with NYSE staff to clarify and evolve specifications
- Produced a Solution Requirements Document incorporating functional and technical requirements for a consolidated reporting platform
- Interviewed various trading and vendor support personnel and performed a gap analysis of 15 client and vendor trading platforms against the new specifications
- Estimated cost and effort to build the reporting solution
- Produced a project plan and roadmap for enabling the solution

The proposed solution was presented to a cross-section of trading teams and compliance staff to gain buy-in and commitment to the development and integration effort.

#### Results

Under our consultant's leadership, the broker dealer made modifications to multiple trading platforms and implemented an NYSE OTS trading activity capture and reporting solution within estimated budget and timeframes. The solution was also soon expanded to incorporate OATS and other compliance activity and reporting needs.

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***Through information technology and advisory capabilities, Katahdin Solutions provides consulting services to organizations seeking to achieve greater efficiency and value from their project delivery and compliance initiatives.***