

## Custom Application Development

### Trade Compliance Rules Engine

A large multi-class asset manager needed a common solution for enabling multiple pre-trade and post-trade compliance rules, without rebuilding the process for new rules and trading platforms.

#### Approach

A Katahdin Solutions consultant led design and development of a trade compliance rules execution and notification engine. The engine serves as a generic foundation for any process in the enterprise that requires flexibility in rule execution, configuration or results notification. Rules created by business users are used for trade compliance enforcement.

Our consultant's responsibilities included designing and developing the solution logical and physical data model and data access stored procedures, the object model, and the rules execution system.

#### Results

The application was developed using C#, XSL/XML, SQL Server 2005, and WCF. After implementing the new rules processing framework, the investment firm could create and deploy rules for pre and post-trade compliance notification without additional software developer involvement.

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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.*