

Regulatory Compliance Services

Market participants are challenged to keep pace with ever-changing products, volumes, modes of operation, and steadily dynamic regulatory demands from multiple regulatory authorities. These demands provide challenges for industry participants and service providers alike. Maintaining effective compliance capabilities takes active engagement of people, processes and culture to manage ongoing efforts, evolve business activities to address changing needs, and respond to inquiries and audits without disruption. Markets Technology & Solutions (“MTC”) services help businesses address compliance and regulatory needs through elements of compliance program definition implementation and operation.

Services

MTC helps companies at various stages of establishing and operating a regulatory program to identify and evaluate regulatory challenges, develop strategies and plans for improvement, define operating frameworks, and implement solutions to address critical near term needs and enable strategic operating flexibility. These services include:

- Regulatory compliance program stand-up, assessment, requirements, definition and planning
- Regulatory interpretation gap analysis, impact assessment, and planning
- Program leadership and interim operation
- Compliance solution definition, design, product selection, development and implementation
- Compliance technology transformation services and process management design
- Consolidated regulatory and compliance reporting, pattern recognition, and data analytics solutions
- Regulatory inquiry analysis, corrective action and response assistance
- Ongoing training, policies and procedures definition, assessment, audit, testing and advisory

Why MTC

With our unique background in legal, compliance, regulated industries, audit, electronic markets, and information technology solutions, MTC’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.

Through information technology, compliance and advisory services, Markets Technology & Compliance helps organizations achieve greater efficiency and value from project delivery and compliance initiatives.

Client Successes

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

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| - CCO and Compliance Program Leadership | - Corp. Security Office Case Management PMO |
| - Sarbanes-Oxley Program Rollout | - Legal and Compliance Data Warehouse PMO |
| - Regulatory Requirements Assessment and Audit | - Reg. NMS Initiative PMO |

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