

Trading and Regulatory Technology Consulting

Markets Technology & Compliance provides expertise in trading technology and related regulatory compliance needs to help our broker-dealer and buy-side clients to successfully meet the challenges of today's diverse, competitive marketplace and evolving regulatory changes.

With in-depth expertise, MTC helps clients throughout the entire lifecycle of initial planning through analysis and implementation. Our Trading and Regulatory Technology Services include:

Getting Started: Regulatory Requirements Interpretation, Assessment and Sizing

We have helped large broker-dealers prepare for upcoming trading environment regulatory changes. Our team has worked to interpret regulatory details, assess current trading systems and processes to determine deficiencies, and size the implementation effort. Examples include the implementation of OTS, planning for Regulation NMS, and the various phases of OATS.

Defining the Solution: Design, Estimation and Implementation Planning

Clients seek experienced assistance defining effective solutions which handle trading volumes and fully capture information from multiple sources to satisfy markets regulatory requirements. MTC has provided design and planning services in a number of large-scale trading settings, order and execution message processing, OATS, DPTR and TRACE solutions, equities, fixed income, client connectivity, and markets connectivity.

Solution Development, Test and Implementation

MTC has developed custom applications in many areas of the global markets, and has led the implementation of vendor-packaged solutions. Our skills cover development, integration, testing, and deployment. Solutions include high-speed training solutions, algorithmic trading, order life-cycle regulatory data capture repositories and reporting systems, and security platforms. Our testing and defect management capabilities cover the gamut of solution dimensions, from functional requirements, to usability, to capacity.

Program Management and Delivery Assurance

Clients undertaking major initiatives often seek our experience for structuring projects to succeed. Whether lending a proven leader to guide a solution roll-out, or providing a team of project leaders and experienced analysts to help efficiently shape a solution, our skills give our global markets clients added advantages on meeting implementation deadlines.

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

Ongoing Assurance and Audit

MTC provides independent reviews to clients seeking to leverage our markets and regulatory experience. MTC has helped clients diagnose and address a number of regulatory deficiencies, and thereafter, we provide periodic assessments of client progress in keeping up with regulator demands. We have performed this work for firms from small investment boutiques to major broker-dealers.

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