

SEC RULE 13H-1

Will your firm be compliant in less than 60 business days?



Is your firm trading over \$20 million or 2 million shares in NMS securities during any calendar day?

Is your firm trading \$200 million or 20 million shares in NMS securities in any given month?

Is your firm sponsoring or touching a transaction that could be deemed reportable via Large Trader Reporting obligations?

Does your firm have a process in place to capture, maintain and extract large trader transaction information and report to the Commission?

Effective October 3, 2011, SEC 13h-1, or Large Trader Reporting, outlines a number of obligations for firms deemed “large traders” that are not proposals, but rather regulatory requirements that must be complied with by April 30th, 2012. Although this is just a few months away, many firms have not yet begun to examine changes to current reporting and data acquisition requirements to meet Large Trader responsibilities. **Will your firm be compliant in less than 60 business days?**

Partnering with customers to provide timely, innovative solutions to meet Large Trader needs

With over ten years of experience delivering mission-critical technology to meet the global trading community’s regulatory and risk management challenges, FTEN continues to bring solutions to market to help customers save financial and human capital and focus on generating alpha, while remaining compliant with regulations. Utilizing FTEN’s patented data aggregation technology and flexible risk management infrastructure, FTEN can help firms manage their large trader obligations and deliver the information required to keep compliant, without disrupting operations.

How will FTEN help participants meet Large Trader obligations by April 30?

By leveraging FTEN's patented technology that already fuels FTEN's real-time risk management and high-speed trading solutions, FTEN is in a unique position to complete much of the heavy lifting associated with delivering large trader information, as deemed necessary by the Commission. As an add-on service, FTEN can use and re-package transaction data into a format that can be used to submit to regulators, with minimal changes and no expensive build-outs required to re-architect existing processes. FTEN can manage everything from the hosting of the service in secure NASDAQ OMX facilities to re-packaging into a new data set, specifically for Large Trader, so that firms can continue to focus on their core competence – generating revenue.

Why is FTEN embarking on a project to deliver Large Trader functionality?

As an independent solutions provider that works with all market constituencies, a critical component of FTEN's commitment to its customers and the financial industry is to help market participants both understand and effectively implement procedures to manage new regulatory obligations -- including Large Trader Reporting. FTEN has a strong history of delivering solutions that help clients maintain regulatory compliance with minimal disruption to existing business processes.

How can customers benefit from working with FTEN on Large Trader?

Through a combination of FTEN's deep domain expertise, world-class global support organization and patented technology alongside the innovation, resources and financial strength of NASDAQ OMX, FTEN customers can be confident that their Large Trader responsibilities are under control. Partnering with FTEN enables customers to outsource the management of their large trader obligations, and redeploy scarce technology resources to revenue generating activities.

See you in April...



More Information

To learn more about how FTEN can help your firm comply with Large Trader's April 30th date, contact us at LTID@ften.com.