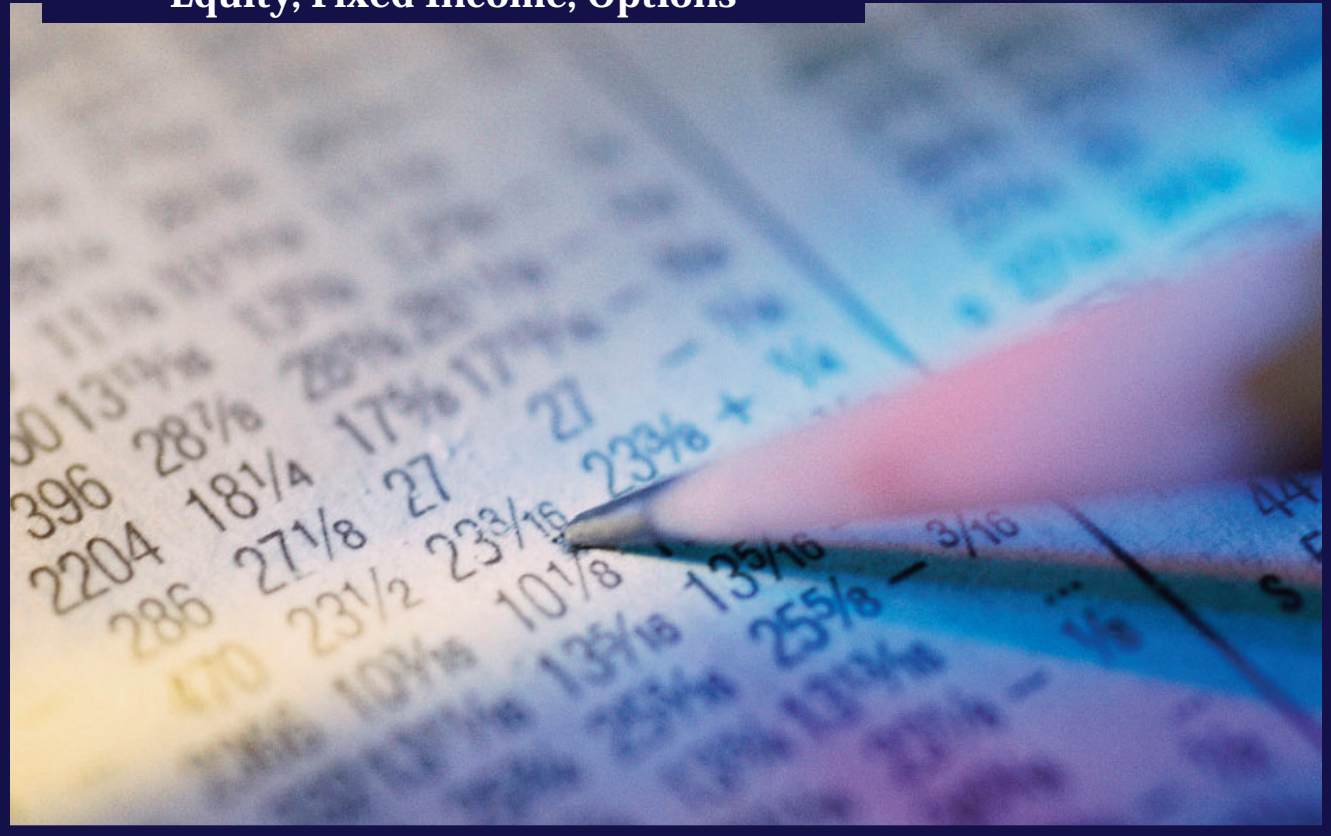


Best Execution

Equity, Fixed Income, Options



Equity

- VWAP rules engine and alerts
- NBBO rules engine and alerts
- Commission tracking and threshold alerts
- Dealer allocation and threshold alerts
- Execution shortfall analysis and alerts

Fixed Income – Corporates, Municipals and Agencies

Execution price comparisons and sorting by coupon, maturity by date and maturity bands, rating (e.g. credit quality), issuer, sector, industry, type, or security identifier, broker/dealer, account or portfolio, or combination of the above. This module also includes a rules engine with alerts.

Each analysis is run daily, trade by trade and dealer by dealer, and the results are posted daily on the FTT website. Alerts (optional) are triggered when undesired trends in best execution develop, all as determined by the client.

For additional information on Financial Tracking Technologies' automated, modular compliance capabilities, please contact Kelly Vales at 203-340-2356 x805 or kvales@financial-tracking.com.