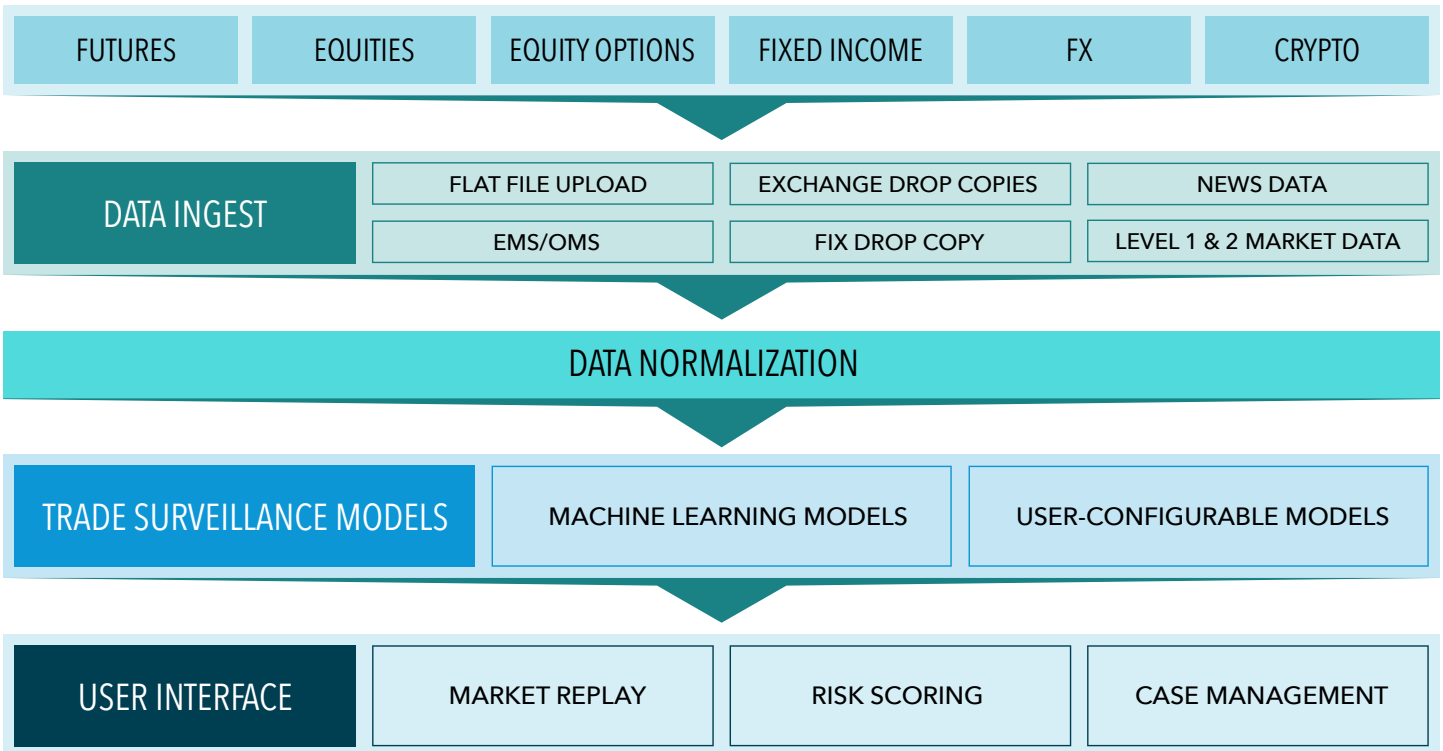


TT[®] TRADE SURVEILLANCE - THE GLOBAL MULTI-ASSET COMPLIANCE TOOL

Combine all the benefits of machine learning and configurable models to identify potential regulatory risk in a simple, intuitive interface.

Uncover blind spots and proactively address regulatory and compliance issues before violations happen to guard against fines and enforcement investigations.

Achieve comprehensive oversight of trading activity across your organization, with support for all asset classes, compliance with all major regulations and the ability to import trade data from any source into the TT infrastructure.



KEY DIFFERENTIATORS

REDUCE FALSE POSITIVES WITHOUT BLACK BOXES

Get the best of both worlds with explainable machine learning models and highly customizable models.

GLOBAL REGULATORY COMPLIANCE

Stay ahead of the changing regulatory environment across multiple markets and regions.

ONE-STOP-SHOP: TOTAL FOOTPRINT COVERAGE ACROSS ASSET CLASSES

Monitor all your trading in equities, futures and options, foreign exchange (FX), fixed income and cryptocurrencies in one unified platform.

TT PLATFORM ADVANTAGE

Native execution data equals lower total cost of ownership.

MINIMIZE FALSE POSITIVES WITH PROPRIETARY MACHINE LEARNING

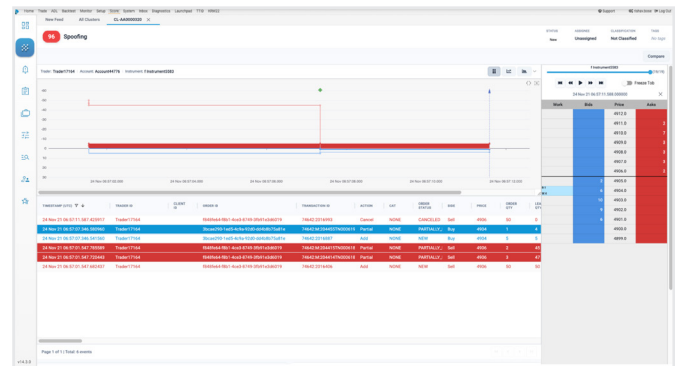
Analysts lose hours to alert fatigue and noisy legacy compliance systems. Our machine learning-powered models automatically pattern data to significantly reduce false positives. Paired with our large suite of user-configurable models, your team gains workflow efficiencies without regulatory black boxes.

FIND THE NEEDLE IN THE HAYSTACK

Instantly pinpoint key risk areas. Our redesigned, workflow-centric inbox tab automatically sorts and prioritizes alerts using a 1-100 scoring system, helping you to quickly identify potential misconduct and investigate higher-risk activity first. Spend less time filtering through alerts and more time addressing meaningful compliance risks.

PROVE INTENT IN HIGH FIDELITY WITH MARKET REPLAY

Tabular trade logs make it nearly impossible to see manipulative order book grooming behavior. Market Replay reconstructs historical order book dynamics tick-by-tick. Play, pause or manually scrub through data to view the exact plate-by-plate life cycle of an order and easily evidence complex market abuse.



The 'Surveillance - New Feed' interface shows a list of alerts with columns for 'Alert ID', 'Alert Name', 'Account', 'Instrument', 'Exchange', and 'Status'. The alerts are color-coded (red, orange, yellow, green) based on their risk level. The list includes alerts such as 'Trading The Clock V2', 'Trading The Clock V1', and 'Trading The Clock V3'.

The 'Market Replay' interface displays a detailed order book with columns for 'Order ID', 'Order Type', 'Order Price', 'Order Quantity', and 'Order Status'. The order book shows a sequence of orders with their respective prices and quantities, allowing for a tick-by-tick view of market dynamics.

IMPORT AND ANALYZE DATA ACROSS YOUR ENTIRE FIRM

CONSUME DATA FROM MULTIPLE SOURCES

Manage your entire trading environment by importing data from any system via exchange drop copy, TT FIX drop copy, direct file uploads or TT's proprietary Trade Management System Extract, Transform, Load (TMS ETL) tool.

SURVEIL USERS OF OTHER PLATFORMS

Easily connect to most major order/execution management system (O/EMS) vendors, making trade data access simple and fast.

COVERAGE FOR KEY REGULATIONS

TT Trade Surveillance incorporates crucial features to help you comply with major global regulations, including:

- ◆ Market Abuse Regulation (MAR)
- ◆ Regulation on Wholesale Energy Market Integrity and Transparency (REMIT)
- ◆ Dodd-Frank Wall Street Reform and Consumer Protection Act
- ◆ U.S. Securities and Exchange Commission (SEC) regulations
- ◆ Financial Industry Regulatory Authority (FINRA) regulations

PROVEN ACROSS THE GLOBAL TRADING ECOSYSTEM

TT Trade Surveillance is a scalable SaaS platform, engineered to meet the scale, performance and data security requirements of the world's leading financial institutions. Our platform adapts dynamically to protect distinct market participants:

- ◆ **Tier 1 Investment Banks and Broker-Dealers:** Power complex, global compliance desks with a high-performance workspace. The enhanced case management system streamlines investigations, drives a structured zero inbox daily routine and helps teams collaborate across regions without duplicating effort.
- ◆ **Global Exchanges and Trading Venues:** Maintain comprehensive oversight of market integrity. Utilize our advanced Market Replay module to highlight pre-determined alert limitations, reconstruct raw order books tick-by-tick and easily trace book-grooming tactics.
- ◆ **Prop Trading Firms and Asset Managers:** Onboard efficiently with a scalable cloud solution that avoids upfront infrastructure or hidden maintenance costs. Empower smaller compliance teams with proprietary machine learning algorithms and prioritized dashboards to find the critical risks instantly.

CONTACT TT

For more information about TT Trade Surveillance and a personalized demo, contact your local Trading Technologies representative or email sales@tradingtechnologies.com.