



CONSOLIDATED AUDIT TRAIL (CAT)

n-Tier's CAT offering couples our deep regulatory experience with our unique software platform to provide firms with a comprehensive solution for meeting their CAT reporting obligation, while minimizing both cost and risk. With years of experience working for firms on predecessor regulations such as Electronic Blue Sheets and OATS, as well as the required reference data, our team is uniquely positioned to help organizations meet the challenges presented in linking all the disparate data sources needed to automate CAT reporting. Our regulatory reporting expertise together with our extensive knowledge of brokerage covering trading, middle-office, and settlement across all asset classes, allows us to provide clients with the support and guidance needed to seamlessly transition to new reporting requirements. Our **Compliance Workbench** is the only platform, which has been proven to programmatically unwind the complexity of trade flows across all front and back office environments to produce accurate regulatory reports while providing the independent monitoring and controls needed to manage reporting obligations.

- Unique infrastructure for linking order management, back office and client information systems to gather and combine data required for CAT reporting
- Scalable architecture proven in production at some of the world's largest financial institutions
- Configurable platform can integrate with complex trading environments with no development effort required
- Customizable complex rule sets to validate and accurately submit regulatory reports for all of your CAT related data
- Can be run on-site or as a fully hosted cloud-based solution, allowing for quick time to market
- Web-based GUI with easy-to-use dashboards which allow users to quickly and efficiently identify, monitor, and manage errors which may impact their regulatory reports
- Unmatched combination of software and experience currently used by firms for EBS, OATS and LOPR, minimizing both cost and risk of building out a new platform
- Allows internal IT resources to focus on other projects with the assurance that regulatory reporting is fully automated and independently validated

ABOUT US

n-Tier Financial Services is a regulatory focused software company that helps firms automate the validation and submission processes required to ensure the ongoing accuracy and completeness of their regulatory reports. We provide clients with a state-of-the-art data validation platform coupled with deep regulatory knowledge and expertise built-up through years of working on regulatory reporting and remediation programs across different investment banking and brokerage firms. Used by some of the most well known firms in the industry, our **Compliance Workbench** provides clients with a sustainable process, which focuses on 100% validation, auto-correction and submission of each regulatory report. Our cutting-edge software provides automated monitoring capability for regulatory reporting across even the most complex infrastructures, and enables firms to quickly identify and correct reporting issues. With unique in-depth experience in reporting requirements such as Blue Sheets, OATS, LOPR, CAT and AML, we provide clients a flexible solution, which can be implemented quickly and centralizes the validation and submission process across different regulatory reporting requirements.



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