



Adenza

Well-established international securities and financial services firm switches to Adenza's integrated, transparent broker-dealer solution

The firm, also a futures commission merchant, primary US Treasury securities dealer, and member of major US exchanges, selects Adenza's platform to opportunity for its comprehensive AxiomSL Broker-Dealer solution for a wide range of regulatory requirements on the cloud.



We are delighted that this esteemed firm has joined its many peers in partnering with Adenza for strategic broker-dealer needs. Not only do we cover the client's priorities around SEC Rules 15c3-1 (net capital) and 15c3-3 (customer protection) and an array of related reporting and allocations, but we also bridge results into solutions across the broker-dealer platform. We are proud to deliver the high-performing computing and scalability clients seek as they grow their businesses and resiliently comply with increasingly demanding regulations.

Jesse Bailey

Head of Sales Americas,
Adenza

Compelling event and decision drivers

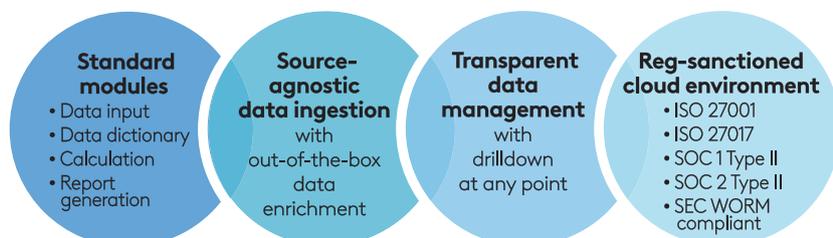
To address the complex, interconnected broker-dealer reporting landscape, firms must marshal disparate datasets and wrangle separate systems and extensive decentralized manual in-house processes, spreadsheets, and adjustments. Piecemeal or opaque approaches create operational inefficiencies and expose firms to regulatory scrutiny of their data quality, submissions, and processes.

Dissatisfied with its legacy black-box-like solution, including its lack of automation, and seeking to futureproof its approach with an established global vendor, this firm switched to Adenza to address requirements including SEC Rules 15c3-1 and 15c3-3, FOCUS and Supplemental reports, SSOI, OBS, SIS, Schedule 1, and Form Custody.

Adenza's AxiomSL Broker-Dealer Solution

The antithesis of a black box, our solution, whether on-premises or on the cloud, transparently provides all the steps to manage your data and comply with regulatory requirements and financial control reporting. It also performs capital adequacy and customer protection rule computations at various levels of granularity and from multiple and diverse sources. And it delivers a transparent link between your data sources and the standard calculations enabling you to generate results, view reports, and conduct analysis.

You can reliably map data once and leverage it enterprise-wide, upstream, and down, efficiently, transparently, and sustainably across regulatory reporting and required calculations or trace data from period-to-period – all without human intervention or spreadsheets. With files automatically produced for FINRA's Automated Examination Program (AEP), clients easily withstand audits. Differentiating characteristics include:



The benefits

Our forward-looking approach of integrating reporting needs on a single, cloud-enabled technology-driven platform gives clients the control, reliability, and efficiency they need to meet regulatory mandates and more, enabling:

- ▶ End-to-end automation for optimized net-capital calculations and related reports.
- ▶ Real-time calculation transparency and quicker processing of high data volumes.
- ▶ Improved business intelligence from consistent regulatory data.
- ▶ Expansion into banking regulations and Adenza's Calypso capital markets applications.