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- Insider Trading Detection
- Account Suitability (BDs) and Reports
- Portfolio Operations/Process
- AML
- Best Execution
- Pay to Play
- Compliance Workstation and Auto Reporter

- Document Workflow and Management
- Valuation Alerts
- Alerts for Reg Filings of Global Holdings
- Systemic Risk
- Counter-party Risk
- Employee Away-Accounts Aggregation
- Branch Audit Workflow (BDs)

Call or email to schedule a demo or get information: 203-340-2356 x817 or info@financial-tracking.com.

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