DASH
REGULATORY TECHNOLOGIES

Regulatory Technology Solutions

Dash Regulatory Technologies delivers the gold standard solution for US regulatory capital compliance. Our highly experienced group of industry experts deliver an elegant, precise, enterprise-wide solution to manage risk with innovative software solutions.

With a comprehensive suite of out-of-the-box tools, custom solutions and consultancy, Dash Regulatory Technologies provides everything required to satisfy the complex reporting requirements surrounding regulatory capital and compliance for the US broker-dealer industry.

SEC Solutions

- 15c3-1 | Net Capital Rule
- 15c3-3 | Customer Protection Rule
- 17a-5 | Rules for Financial Reporting

FINRA Solutions

- 4210 | Margin Requirements
- 4524 | Supplemental Focus Information

BESPOKE

Tailored Consultancy & Customization

In addition to our cutting-edge suite of out-of-the-box regulatory solutions, Dash Regulatory Technologies delivers a hands-on, custom consultancy solution, for clients who require any level of integration, workflow enhancement and/or custom calculations and reports.

Aside from white-glove assistance with on-boarding and training, the Dash Regulatory Technology team welcomes the opportunity to visit and observe your workflow, providing a comprehensive analysis with suggestions and conclusions to optimize / customize the regulatory process from your perspective, helping to ensure complete compliance with all relevant rules and procedures...now, and in the future.

For more information: sales@dashregtech.com | https://www.dashregtech.com | P. (312) 235-6944

Regulatory Solutions

SEC	15c3-1	RBH	**Risk Based Haircut** | Calculates capital charges for listed derivative securities, equities, and qualified stock baskets per Appendix A of the SEC 'Net Capital Rule'.
SEC	15c3-1	iRBH	**Intraday** | An integrated service package designed to monitor your required 'moment-to-moment' capital requirements.
SEC	15c3-1	COMA	**Composition Maker** | CoMa is an optional workflow module for the Risk Based Haircut (RBH) product that seamlessly creates input data files. This saves internal resources thereby enhancing workflow. CoMa creates the necessary files to optimize the universe of potential baskets inside the Basket Weaver.
SEC	15c3-1	FIH	**Fixed Income Haircut** | FIH computes and optimizes capital charges for debt securities as defined in SEC rule 15c3-1 paragraphs (A) - (J). FIH also performs calculations for TBAs and Customer / Firm Fails.
SEC	15c3-1	RRR	**Repo / Reverse Repo System** | RRR computes repo and reverse-repo deficits and deductions, as well as charges related to counter-party concentration, excess collateral and excess aggregate repurchase deficits.
SEC	15c3-1	SBL	**Stock Loan / Stock Borrow System** | Compatible with the 'Agent Lending Disclosure Initiative', this solution reads in DTCC Cash and Non-Cash 'Agent' Files, as well as user-provided borrow and loan data, to calculate capital charges and provide comprehensive reports to assist reconciliation and credit monitoring.

SEC	15c3-3	SALLIE	**Security Allocation Information Engine** | SALLIE assists Broker-Dealers comply with the 'Customer Protection Rule' as defined in SEC Rule 15c3-3 and provides the user with control over the security allocation matrix utilized in the 'reserve' formula.

SEC	17a-5	FRR	**Financial Reporting Responsibility** | FRR assists clients with a subset of SEC's Rule 17a-5 ('Rules for Financial Reporting') and generates a report including time stamps, detailing the landscape before, and after calculation. The reports include details of any changes to 'user controls' during the time horizon in question.

FINRA	4210	RBM	**Risk Based Margin** | RBM calculates risk based margins / customer portfolio margin (CPM) as defined by SEC releases in accordance with FINRA guidelines.
FINRA	4210	iRBM	**Intraday** | An integrated service package designed to monitor your required 'moment-to-moment' capital requirements.
FINRA	4210	OMO	**Option Margin Optimizer System** | OMO calculates customer margin charges according to FINRA Rule 4210. This advanced system will calculate charges for: – Common Stock – Single Stock Futures – Convertible Stocks and Bonds – OTC Options – Equities – Broad / Narrow Based Indices and Currencies
FINRA	4210	DTM	**Day Trader Margin System** | DTM calculates day trader margin charges. Using 'time-and-tick' methodology, the system is designed for FINRA Rule 4210 or Portfolio Margin accounts identified as 'pattern day-traders'. DTM is designed for both common stock and options.

FINRA	4524	SISSY	**Supplemental Inventory Schedule System** | SISSY itemizes and aggregates gross market value (long and short) per category. It does so based on the position files submitted to FIH, RBH, and / or user-defined position files. SISSY produces corresponding Supplemental Inventory Schedule reports.

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THE GOLD STANDARD

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