



NEWS RELEASE

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FOR IMMEDIATE RELEASE

## Financial Tracking Introduces Modular Components in its Compliance Software

*Automated compliance modules can now be configured to fit your budget, facts and circumstances without customization fees.*

GREENWICH, CT – September 29, 2008 – Financial Tracking Technologies, LLC, the *First to Know™* Solutions company, introduces modular components to their independent, automated investment compliance services that monitor and alert when exceptions to policies and procedures occur and documents case management. Compliance officers now have auditable verification that ongoing testing of investment data occurs, all paper and hands free.

With the new modular capabilities, companies can build-their-own module and only pay for what they need. This dynamic feature allows organizations to use the features they require without purchasing the entire bundle and enjoy ongoing verification that compliance policies are correct.

These modular capabilities are included in the following Financial Tracking automated modules:

### **Employee TradeSphere™**

- Pre-Trade Clearance
- Gifts and Entertainment Clearance, Tracking and Alerts
- Ongoing Trade Surveillance
- Data Entry of Employee Trades and Holdings Information
- Broker/Dealer Feed Setup Options
- New Account Clearance and Disclosures
- Administrative Capability and Setup Options
- Employee Domicile in Foreign Jurisdictions
- Insider Trading Detection via Relationships
- Documents/Forms Distribution and Tracking
- Global Security Master File

### **Best Execution for Equity, Options and Fixed Income**

- Client-Defined Rules Engine with Alerts
- Reporting Frequency
- Type of Analysis
- Intra-day or End of Day
- Proprietary Strength of Comparables Analysis

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### **Valuation/Pricing Testing**

- Stale price checks
- Acid testing
- Illiquidity alerts

### **Trade Profitability Analysis**

- Account Dumping
- Favoritism of Idea Allocation
- Insider Trading Detection

### **Portfolio Compliance**

- Derivatives Risk Monitoring and Alerting
- Regulatory Guidelines
- Manager Process and Philosophy Verification
- Investor Policy Statements
- Pricing of Portfolio Risk Checking
- Portfolio Pumping and Window Dressing Alerts
- Unusual Activity Alerts
- Hot Issue Flagging

"We are excited to offer our clients the ability to build their own compliance modules to meet their current needs, and make changes as their circumstances change," said Tony Turner, Principal at Financial Tracking Technologies. "The modular capability of our fully-automated compliance services significantly reduces compliance costs and minimizes fiduciary and regulatory risks." Turner concludes.

### [About Financial Tracking Technologies, LLC](#)

Based in Greenwich, CT, Financial Tracking Technologies, LLC provides automated compliance software as a service to financial services companies. Companies using its technologies, which include investment advisors, mutual funds, hedge funds, broker/dealers, private equity, public companies, VC firms and trust banks, no longer endure the arduous and daunting tasks of data gathering, *analysis and documentation and are the "First to Know™"* when compliance exceptions occur. Additional information can be found at [www.financial-tracking.com](http://www.financial-tracking.com).

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For additional information on Financial Tracking Technologies' automated, modular compliance capabilities, please contact Kelly Vales at 203-340-2356 x805.