



## Best-Ex Reporting | SEC Rule 606

**Our platform provides independent analysis designed to enhance intelligent routing decisions while offering full SEC compliance reporting services.**

### KEY STATS

**4**

**SEC compliant reports  
(606(a)(1), 606(b)(1), 606(b)(3),  
and Look-Through)**

**1.3m+**

**NMS stocks and  
options covered**

### CUSTOMERS

**US Broker  
Dealers**

In today's rapidly changing regulatory environment, cutting-edge, quantitative analytics are necessary. With SEC Rule 606 requiring all US Broker Dealers to report a summary of their market centre transactions, it is important to have a partner who understands the increasing complexities of the trade execution process and its impact on compliance reporting.

Our BestEx Reporting platform is a customizable research and reporting tool, fusing comprehensive trading analysis and best execution metrics with the directives of the SEC in an unbiased format. Client input data is normalized and aggregated for the reports.

Our unique review workflow allows for speedy adjustments and corrections of already generated reports, reducing the need to resubmit data. The analysis is suitable for both retail and institutional order flow. A complete audit log is maintained for compliance reports and users can comment on reports generated.

### Unique Data Display

Simultaneous parent-child data view within one application helps in extensive review and compare statistics across the order lifecycle.

### 606 Compliance

All the standard 606(a)(1), 606(b)(1), 606(b)(3), and 606 Look-Through compliance reports are supported in their native XML and PDF formats. Our unique 606 Look-Through Recon report helps recon Introducing and Executing Broker data to identify any inconsistencies between the two datasets. Additionally, reports are also available via CSV for easy analysis.

### Flexible Data Submission

Submit data at any interval: daily, weekly, monthly, or quarterly. Or manually enter your quarterly data via the unique modification utility.

### Rate Manager

Allows Broker-Dealers to setup to receive fee data. Each counterparty to the Broker-Dealer can provide fee data either as a Rate Card or as a Fee File.

### File Delivery Manager

Unique delivery mechanism allows Broker-Dealers to configure delivery of Look-Through report to other Broker Dealers. Reports can be hosted by IHS Markit or delivered externally.

### Pre-Built and Custom Reports

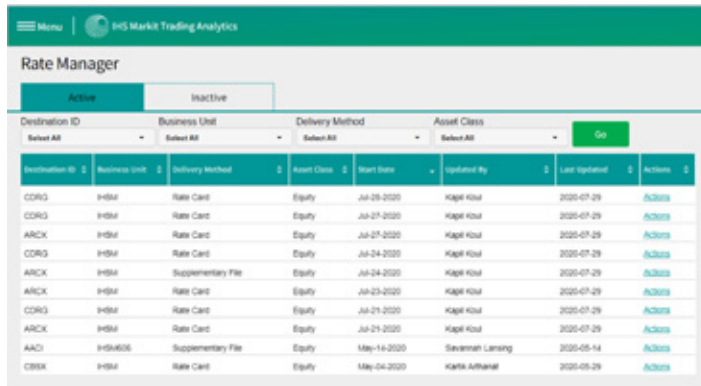
Pre-Built reports allow for quick and easy access to data Custom reports are available to build when investigating order and execution specifics. Reports can be scheduled for automated delivery and schedules can be managed via a dedicated schedule manager.

## Reporting Services

Our Trading Analytics platform is fully functional reporting platform. With multi-dimensional filtering and group-by functionality, it allows for a comprehensive analysis of order routing and execution quality analysis for each stage in the order execution lifecycle.

## Rate Manager

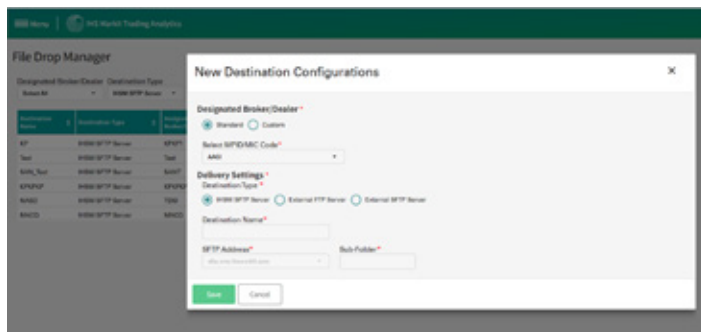
A view showing how Broker-Dealers can setup a combination of configurations, depending on how each counterparty is planning to provide fee data.



Destination ID	Business Unit	Delivery Method	Asset Class	Start Date	Updated By	Last Updated	Actions
CDRG	IHSM	Rate Card	Equity	Jul-29-2020	Kagil Koul	2020-07-29	Actions
CDRG	IHSM	Rate Card	Equity	Jul-27-2020	Kagil Koul	2020-07-29	Actions
ARCK	IHSM	Rate Card	Equity	Jul-27-2020	Kagil Koul	2020-07-29	Actions
CDRG	IHSM	Rate Card	Equity	Jul-24-2020	Kagil Koul	2020-07-29	Actions
ARCK	IHSM	Supplementary File	Equity	Jul-24-2020	Kagil Koul	2020-07-29	Actions
ARCK	IHSM	Rate Card	Equity	Jul-23-2020	Kagil Koul	2020-07-29	Actions
CDRG	IHSM	Rate Card	Equity	Jul-21-2020	Kagil Koul	2020-07-29	Actions
ARCK	IHSM	Rate Card	Equity	Jul-21-2020	Kagil Koul	2020-07-29	Actions
AACI	IHSM05	Supplementary File	Equity	May-14-2020	Savannah Lansing	2020-05-14	Actions
CBEX	IHSM	Rate Card	Equity	May-04-2020	Karla Arthanal	2020-05-29	Actions

## File Drop Manager

A view showing how Broker-Dealers can configure and have complete control of delivery of Look-Through Files to their Broker-Dealer clients via FTP/SFTP.



File Drop Manager

Designated Broker/Dealer: [Select All] Destination Type: [Select All] Designated Broker/Dealer Code: [Select All]

Designated Broker/Dealer:  Standard  Custom

Designated Broker/Dealer Code: [Select All]

Delivery Settings:  Internal SFTP Server  External FTP Server  External SFTP Server

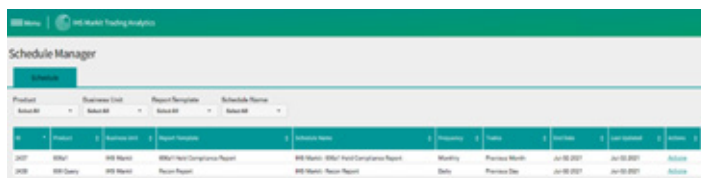
Destination Name: [Text Field]

SFTP Address: [Text Field] Sub-Publisher: [Text Field]

[Save] [Cancel]

## Schedule Manager

A view showing the reports setup by the user for automated delivery.



Product	Business Unit	Report Name	Schedule Name	Frequency	Date	Period	Actions	
USC	USC	USC-Exec-Compensation-Report	USC-Exec-Compensation-Report	Weekly	Periodic	Jul-02-2021	Jul-02-2021	Actions
USC	USC-Exec	USC-Exec-Report	USC-Exec-Report	Daily	Periodic	Jul-02-2021	Jul-02-2021	Actions

## More information on IHS Markit products and services.

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