



SOLVE for Regulatory Compliance

Clarity Powered Through Millions of Data Points

How SOLVE Solutions Help

- Access best-in-class analyses to support **SEC Rule 15c2-12** Reasonable Diligence obligation
- One-click access to a Muni Bond Report containing required data and information to support **MSRB Rule G-47** compliance
- Support compliance with **Fair Dealing/Fair Pricing (MSRB Rules G-17 and G-42)** with full transparency into all underlying market transactions that support new issue pricing levels
- Support Best Ex (**MSRB Rule G-18**) compliance with pricing analytics for the traded bond and all relevant comparable bonds
- Take advantage of robust reporting tools and how our services augment your processes to support Supervisory requirements (**MSRB Rule G-27**)

Regulatory Compliance Solutions

- DIVER | 15c2-12 Analysis
- DIVER | Time of Trade Disclosure
- New Issue Pricing
- Secondary Market Pricing

Markets Covered:

Municipals

SOLVE Solutions provide the data and analytics that bring clarity and insights to your fixed income strategies.

"I like that the 15c2-12 analysis is based on objective facts and is supported by links to the disclosures."

"What used to take our wealth advisors 20 to 30 minutes to comply with G-47 now takes them a second with the bond report."

"The platform provides objective, market-based data to support our new issue pricing."

Legal and Compliance professionals reduce risk by helping ensure their firms meet market regulatory requirements with best-in-class 15c2-12 analyses, current and comprehensive Muni Bond Reports for every municipal bond to meet Retail and Non-SMMP Time of Trade Disclosure obligations (MSRB Rule G-47), and new issue and secondary market pricing analyses that are built with all relevant market comps to support pricing levels (MSRB Rules G-17 and G-42) and Best Ex (MSRB Rule G-18). Compliance professionals save time and ensure that Supervisory obligations are met (MSRB Rule G-27) by accessing robust solutions for tracking, storing, and reporting on the activities of their firm's municipal securities professionals.

DIVER | 15c2-12 Analysis by SOLVE

- Reasonable diligence analysis performed by an experienced team of analysts
- Includes Audit, Financial and Operating, Ratings Change and Bond Call analyses
- Competitive deal analyses are ready days prior to their pricing
- Negotiated deals performed on request

DIVER | Time of Trade Disclosure by SOLVE

- Facilitates Time of Trade Disclosure (MSRB Rule G-47) for retail and non-SMMP investors
- Comprehensive, accurate and current reports for every municipal bond
- Configurable risk factors and company disclosure language
- Audit trail and bond report storage, with access to retrieval and reporting tools
- Seamlessly integrated into your ATS and trade ticketing process



New Issue Pricing by SOLVE

- Support new issue pricing levels (MSRB Rules G-17 and G-42)
- New issue scales with full transparency into supporting market transactions

Secondary Market Pricing by SOLVE

- Facilitate Best Ex compliance (MSRB Rule G-18) with transparency to supporting market data
- Save secondary market price analyses for subsequent retrieval



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Disclaimer: SOLVE offerings are not intended to constitute investment advice, do not seek to value any security, and do not purport to meet the objectives or needs of specific individuals or accounts.

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