

## SMALL CAP LISTED COMPLIANCE PRODUCT

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**Introducing a first of its kind offering designed to create a data-driven approach to analyzing the 2,300+ Small-Cap securities listed on a US Stock Exchange.**

The Small Cap Listed Compliance Product provides broker-dealers and compliance & risk management teams with detailed data to help standardize and improve the process for evaluating Small Cap Companies with Market Caps under \$500 million listed on the NYSE, NYSE American and NASDAQ.

### Compliance Benefits:

- Establish a small cap specific compliance process for the ~2,300 listed securities with a sub \$500 million Market Cap
- Standardize policies and due diligence procedures across the listed and OTC equity Small Cap market
- Provide tracking data for stock promotion in listed securities

### Core Data Elements:

- Stock Promotion: Active and historical stock promotion data is included utilizing the algorithm created for monitoring OTC equities
- Hot Sector Data: Highlights securities classified in the Cannabis and Cryptocurrency/Blockchain sectors
- Penny Stock Status: Securities are evaluated using all SEC defined penny stock exemptions, except the Exchange exemption
- OTC Graduate Data: Notes former OTC market status and graduation date

### Additional Key Compliance Fields:

- Micro Cap Status
- Shares Outstanding
- Name Change History
- Shell and Former Shell Status
- Split History
- Average Daily Volume Data

### Enterprise Level Pricing:

- Internal use: \$2,000 per month
- Internal/External use: \$2,500 per month

Created twice daily in pipe-delimited format at 5am and 7pm on each trading day.