Streamline Trading, Commission Management and Multi clearing through one dedicated system. Profit from it.

OMEX SYSTEMS provides order management and execution technology, commission management and multi clearing solutions to emerging and mid-tier firms. It delivers a high level of functionality and power to trading desks. Through the OMEX trading solutions, we provide tools and services for trading firms to handle increasingly complex trade execution and back office challenges so firms can take advantage of the new business opportunities presented in fast moving global markets.

Markets are changing
Customers are demanding

OMEX
Order Management & Execution Systems

ORDER MANAGEMENT AND EXECUTION

OMEX provides comprehensive, global order management and execution management capabilities. The system provides a centralized order blotter, a robust Permissionings system, electronic connectivity to both internal and external customers, and pre-and post- trade allocations all in a consistent, intuitive interface.

- ✓ OMEX provides a comprehensive list of features including point and click trading, Level II displays, Tick Charts, Time and Sales.

- ✓ Order Management functions such as a trading blotter, pre- and post-trade allocations, and a multi-user, multi-tiered Permissionings system. Advanced applications such as list management, basket Trading, multi leg and complex option execution capabilities are key strengths of the platform.

Basket and List Trading

OMEX basket and list trading provides traders some of the most powerful tools for managing and controlling multiple lists of orders. The traders can monitor executions and analyze transactions in real time on a list and on individual orders with the ability to change, replace strategy and/or cancel the entire list with a simple click.

Strategy and List Management
- ✓ Rules to create and enter orders for a list
- ✓ Enter orders for an entire list, or a subset (group) of each list
- ✓ Set the size of the order (slice), maximum share quantity or value of the order, price, and algo order type
- ✓ Strategies can be saved and used to rapidly enter or revise waves of orders for a list

Stock/Future Order Dialog

Side	Quantity	Symbol	Type	Price	Route
B	1,000	MSFT	LMT	0.1000	ARCA

TimeInForce	Display size	Account	Trans Type	Cross Account
DAY	0	TEST_AVG	-Select-	SPCS_AVG

△ ALGO   △ INTL   △ MISC   **Buy**

Algorithm

Strategy	☐ Enable all fields	☐ Start time	☐ End time
-None-		20100813-11:31:54	20100813-16:00:00

☐ Max rate	☐ Min rate	☐ Ex style	☐ Cleanup px/Trigger
0	0	5	

International

Currency	SecurityIDSource	Security ID	Pref Exchange
-Select-	-Select-		-Select-

Miscellaneous

Client Order Identifier/Name	Special Instructions/Notes	☐ AON

Contra	ASOF:
	08/13/2010 10:59 AM

☐ Solicited   ☐ Manual Fill

OMEX
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Global Orders through a Centralized Order Blotter

Orders can be added to a centralized order blotter that can be shared among multiple traders. All or part of an order can be directed to an exchange, ECNs, market makers, algo destinations or another desk or broker. The blotter will keep track of the status of the order, average prices, and leaves quantity while preventing overtrading.

Multi-User, Multi-Tiered Permissioning and Visibility

OMEX provides shared visibility and permission to heads of desks, branch managers, and risk managers on any of several tiers up to global level to monitor appropriate activity for compliance and for risk management.

Portfolio and Risks

The OMEX Portfolio and Risk Manager allow traders to manage stock, options and portfolio risk over multiple accounts from a single window. Users can also hedge greeks, and see their P&L in real time.

FIX Connector

The FIX connector seamlessly connects to FIX compliant systems of all major markets, venues and buy and sell side Order management systems for straight through processing. FIX Adapter provides real-time monitoring and handles thousands of messages per second. Also provides rapid FIX integration, reducing FIX certification and testing costs.

Option Trading

OptionEX gives you the ability to instantly execute orders from level 2 and blotter through **click n trade** capability.

Any number of complex strategies such as butterflies, straddles, condors, covered calls/puts etc. can easily be constructed with simple clicks.

OptionEX optionEx calculates real-time Greeks (delta, gamma, theta, and vega) which are fundamental for both trading and risk management.

Option Chain for Google Inc (GOOG)

Symbol: GOOG — Puts and Calls — OK

491.75 (1) Bid	492.15 (3) Ask	492.03 Last	0.29 Change	491.74 Close	1,469,512 Volume	489.7976 VWAP	33.27 30d Volatility	0.0000 Div. Rate

Filters: ☑ Zero (0) Int. ☑ Zero (0) Vol. ☐ LEAPS ☑ Update Greeks ☑ Enable Filters Months Range: 6 Strike Px Range: 6

Tabs: Aug-2010 | **Sep-2010** | Dec-2010 | Jan-2011 | Jan-2012

Calls / **Puts**

36 Da...

Root	Close	Last	Bid	Ask	BidSize	AskSize	OpInt	Volume	Imp Vol	Delta	Gamma	Strike	Root	Close	Last	Bid	Ask	BidSize	AskSize	OpInt	Volume	Imp Vol	Delta
.GOOG	65.50	60.80	63.90	66.00	49	107	127	4	0.00	0.9132	0.0031	430	.GOOG	2.15	2.20	2.20	2.35	78	77	2,177	176	33.50	-0.086
.GOOG	56.80	56.00	54.90	55.80	11	79	174	2	32.31	0.8730	0.0040	440	.GOOG	3.00	3.10	3.00	3.20	92	43	1,776	125	32.30	-0.127
.GOOG	47.90	46.90	46.00	47.00	11	105	326	4	30.19	0.8227	0.0051	450	.GOOG	4.10	4.10	4.20	4.40	55	42	1,901	98	30.51	-0.177
.GOOG	39.20	38.20	37.80	38.70	11	139	561	11	28.31	0.7628	0.0060	460	.GOOG	5.80	5.90	5.80	6.10	68	72	1,982	138	29.74	-0.237
.GOOG	30.50	31.30	30.00	30.70	55	90	939	24	29.04	0.6948	0.0068	470	.GOOG	8.10	8.20	8.00	8.30	95	11	2,016	232	28.77	-0.305
.GOOG	24.00	23.40	23.10	23.70	52	99	766	209	26.45	0.6210	0.0074	480	.GOOG	11.30	11.20	11.00	11.30	72	11	1,901	136	27.79	-0.379
.GOOG	18.10	17.20	17.10	17.60	84	91	1,405	568	25.48	0.5441	0.0077	490	.GOOG	15.30	14.87	14.90	15.30	84	3	2,071	276	26.57	-0.455
.GOOG	13.00	12.80	12.30	12.50	40	3	3,479	294	25.86	0.4671	0.0077	500	.GOOG	20.40	19.40	19.90	20.40	77	47	2,842	161	25.23	-0.532
.GOOG	8.70	8.50	8.40	8.70	67	77	2,604	252	24.77	0.3927	0.0075	510	.GOOG	26.40	26.90	26.00	26.60	62	31	880	225	27.27	-0.607
.GOOG	5.90	5.70	5.60	5.80	21	70	3,403	478	24.66	0.3235	0.0070	520	.GOOG	33.50	0.00	33.10	33.70	62	3	1,559	0	0.00	-0.676
.GOOG	3.90	3.70	3.60	3.80	60	141	3,296	284	24.61	0.2610	0.0063	530	.GOOG	40.00	41.00	41.10	41.80	52	22	643	1	25.50	-0.739
.GOOG	2.45	2.45	2.25	2.40	52	112	3,677	115	24.97	0.2063	0.0055	540	.GOOG	40.50	0.00	48.70	50.70	52	45	552	0	0.00	-0.793
.GOOG	1.60	1.45	1.40	1.55	61	95	4,157	67	24.73	0.1599	0.0047	550	.GOOG	58.90	61.80	57.90	59.80	62	22	823	1	35.29	-0.840

Tabs: Option Order | **MultiLeg Order**

Leg	Inc.	Side	Qty.	Ratio	Symbol	O/C	Root	Strike	P/C	Expiry	Bid	Ask	Delta	Gamma	Fill Px.	Fill Contra
Stock Leg	☑	B	1000	100	GOOG						491.75	492.15	1.000	1.000		
Leg 1	☑	B	10	1	.GOOGOC	Open	GOOG	490	Call	20100813	3.7	4.2	1.000	0.000		
Leg 2	☑	B	10	1	.GOOGOC	Open	GOOG	480	Call	20100813	11.8	12.8	1.000	0.000		
Leg 3	☑	S	10	1	.GOOGOC	Open	GOOG	490	Put	20100813	1.75	2.05	0.000	0.000		
Leg 4	☑	S	10	1	.GOOGOC	Open	GOOG	480	Put	20100821	23.5	24.1	0.831	0.010		

Qty. 10 | Account TEST_AVG | Route EXCHANGE ISE | Destination SMART | TIF DAY | DEBIT 483.12 | CMTA ADP-158 | Bid 481.100 | Ask 483.900 | Delta 2.169 | Gamma 0.990

Client Order Identifier/Name | Special Instructions/Notes | ☐ Solicited | ☐ Manual Fill ASOF: 08/12/2010 01:34 PM

Preview | Reset Legs

Connected (1) 3:703 — Show/Hide Ordering Pane

OMEX

Order Management & Execution Systems

COMMISSION MANAGEMENT - SOFT DOLLAR AND CSA

The Commission Management Portal (CMP) for commission sharing arrangements and soft dollars administration allows firms to offer programs to their clients through a web-based portal. The CMP can help automate invoicing and payment requests online for soft dollar credits and payments to third party vendors.

Why Commission Management

- ✓ Online statements and invoice approval system allows review and approval of invoice
- ✓ Improve transparency and customer satisfaction
- ✓ No more spreadsheets and manual tracking
- ✓ Automate and expedite full-cycle billing activities
- ✓ Enables your clients to efficiently track commissions by providing brokerage activity
- ✓ Assists with compliance, client trade and balance management, CSA payments, trade adjustments and reconciliation, routing and approval workflow
- ✓ Track payments to research brokers based on client approval of invoices and available credits.

POST-TRADE PROCESSING

In today's trading environment, the effective management of post-trade processing is critical for running a successful operation. OMEX middle office and back office modules provide a seamless and efficient environment to manage allocation and confirmation process and filing and maintaining of regulatory reports.

Back office module offers:

- ✓ Dynamic and intelligent trade reporting facility
- ✓ Sophisticated commission and charge rule calculators
- ✓ Support for OASYS Direct, Global OASYS Direct, and FIX allocation processing
- ✓ Real-time and batch file generation and transmission
- ✓ Send trade tickets, electronic faxes, and emails directly to counterparties
- ✓ OATS and OTS for FINRA and SEC compliance reporting and archiving
- ✓ Creation and transmission of trades for major clearing firms
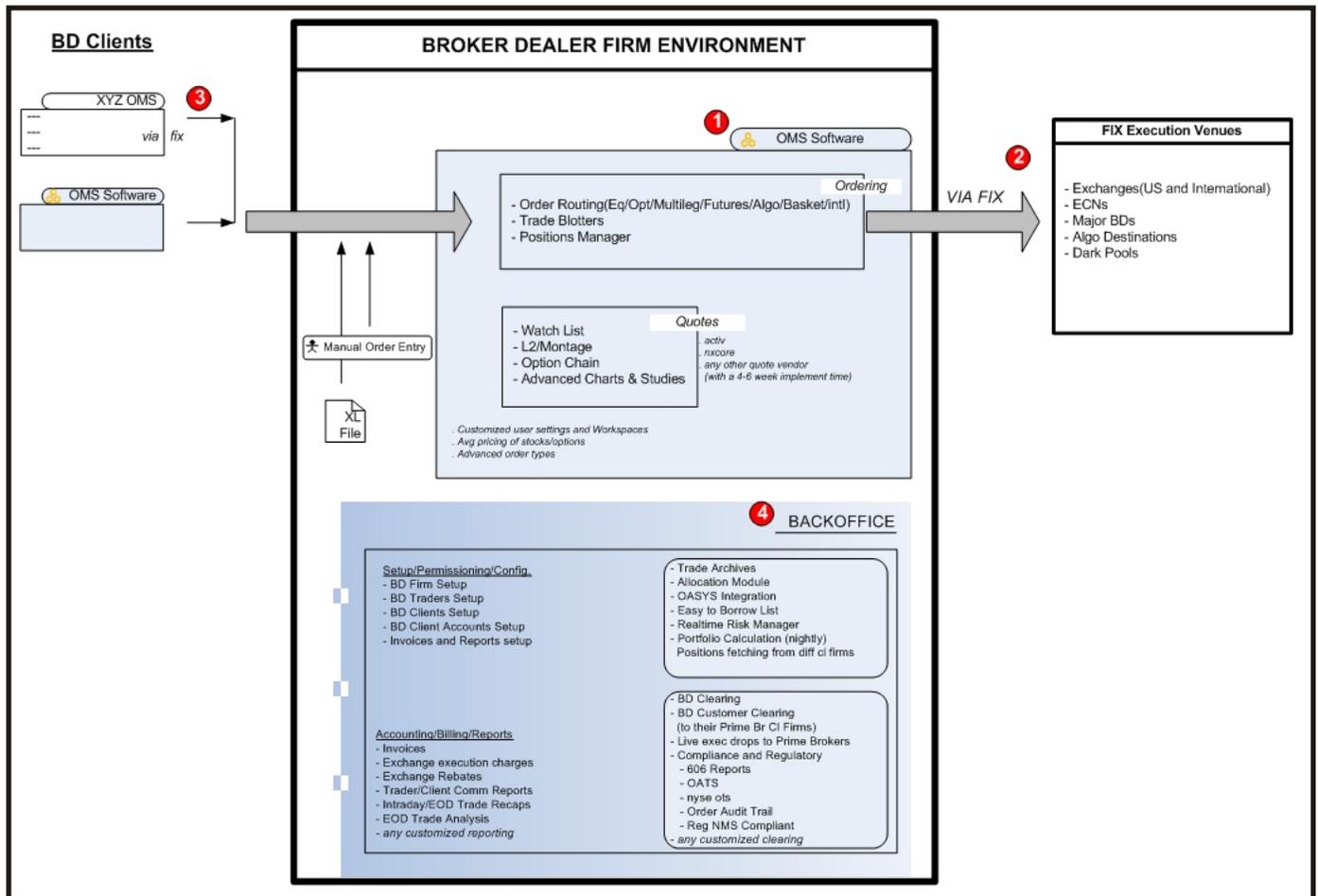- ✓ Audit trails

OMEX
Order Management & Execution Systems

"We have used many different systems for execution and back office operations, OMEX is a "turnkey" solution for broker dealers that combines end -to -end functionalities and ease of use to run our business.

The programmers and technical support are among the best I have dealt with in my career. We use OMEX to run our trading, OMS, invoicing and billing functions. It is easy to use, and contains all the functionality we need to provide quality customer service, efficient execution and back end reporting and management services."

David J Beth, President / COO
Wallach Beth Capital LLC, Member FINRA/SIPC
Institutional Execution & Trading

OMEX SYSTEMS in a Broker Dealer Environment

BD Clients

XYZ OMS ③ via fix

OMS Software

BROKER DEALER FIRM ENVIRONMENT

① OMS Software

Ordering
- Order Routing(Eq/Opt/Multileg/Futures/Algo/Basket/intl)
- Trade Blotters
- Positions Manager

Quotes
- Watch List
- L2/Montage
- Option Chain
- Advanced Charts & Studies

. activ
. nxcore
. any other quote vendor
(with a 4-6 week implement time)

Manual Order Entry

XL File

. Customized user settings and Workspaces
. Avg pricing of stocks/options
. Advanced order types

VIA FIX

② **FIX Execution Venues**
- Exchanges(US and International)
- ECNs
- Major BDs
- Algo Destinations
- Dark Pools

④ BACKOFFICE

Setup/Permissioning/Config.
- BD Firm Setup
- BD Traders Setup
- BD Clients Setup
- BD Client Accounts Setup
- Invoices and Reports setup

- Trade Archives
- Allocation Module
- OASYS Integration
- Easy to Borrow List
- Realtime Risk Manager
- Portfolio Calculation (nightly)
  Positions fetching from diff cl firms

Accounting/Billing/Reports
- Invoices
- Exchange execution charges
- Exchange Rebates
- Trader/Client Comm Reports
- Intraday/EOD Trade Recaps
- EOD Trade Analysis
- any customized reporting

- BD Clearing
- BD Customer Clearing
  (to their Prime Br Cl Firms)
- Live exec drops to Prime Brokers
- Compliance and Regulatory
  - 606 Reports
  - OATS
  - nyse ots
  - Order Audit Trail
  - Reg NMS Compliant
- any customized clearing

OMEX OMS and Backoffice Overview

ABOUT OMEX SYSTEMS

OMEX provides order management and execution technology, commission management and multi clearing solutions to emerging and mid-tier firms. It delivers a high level of functionality and power to trading desks. Through the OMEX trading solutions, we provide tools and services for trading firms to handle increasingly complex trade execution and back office challenges so firms can take advantage of the new business opportunities presented in fast moving global markets.

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