



❖ Introducing KM Sentinel

At last, a tracking tool for agency and SRO rulemaking that's as lightweight as it is powerful.

Impose order on the chaos of federal rulemaking with the latest outstanding compliance solution from Knowledge Mosaic Inc.

Stay on Top of the Game

KM SentinelSM is perfectly suited to the needs of investment advisers and financial institutions. How do we know? Because as part of our product development process, we had extensive conversations with industry insiders, including compliance professionals from some of the world's leading investment and banking firms.

The end result is the most user-friendly and cost-effective system out there for those who need to stay on top of the constantly shifting regulatory landscape.

Compliance Made Simple

Keeping up with the deluge of SRO and agency rule changes requires hours of laborious and tedious tracking, cross-checking, and data entry. The alternative—using a web- or software-based system—comes with a hefty price tag, not to mention cumbersome set-up and maintenance requirements.

By contrast, **KM Sentinel** is sleek, affordable, and can be mastered in minutes. Designed to be a “plug and play” application, it requires virtually no setup, so you can begin using it instantly. And it is considerably less expensive than comparable services.

A daily email alerting system, intuitive search page, and the ability to annotate release entries are the core features of this innovative tool.

Comprehensive, Real-Time Rulemaking Updates

KM Sentinel tracks nearly 150 proposed rule changes each month for more than 25 SROs, including FINRA, NYSE, NASDAQ, CBOE, and the MSRB. It also includes rulemaking proposals from major government regulatory agencies, including the SEC.

The screenshot shows an email alert from Knowledge Mosaic Inc. titled "SRO Sentinel Alert" dated 11/20/2010. The email lists four SEC releases published since the last alert, each with a file/notice number and a release title. The releases are:

Entity	File/ Notice Number	Release
SEC	34-63347 <i>New Proposal</i>	Security-Based Swap Data Repository Registration, Duties, and Core Principles (SEC Release, 11/19/2010)
SEC	ia-3110 <i>New Proposal</i>	Rules Implementing Amendments to the Investment Advisers Act of 1940 (SEC Release, 11/19/2010)
SEC	34-63446 <i>New Proposal</i>	Regulation SBSR—Reporting and Dissemination of Security-Based Swap Information (SEC Release, 11/19/2010)
SEC	ia-3111 <i>New Proposal</i>	Exemptions for Advisers to Venture Capital Funds, Private Fund Advisers with Less Than \$160 Million in Assets Under Management, and Foreign Private Advisers (SEC Release, 11/19/2010)

Below the table, the email provides instructions: "To see the text of a release, click the hyperlinked title." and "To see related releases or to enter notes for a record, go to the [SRO Sentinel page](#)." It also includes contact information: "For assistance, please contact us: Email: srosentinel@knowledgemosaic.com, Phone: 866.650.3600, Fax: 206.525.8397." The footer contains the copyright notice: "Copyright 2009-2010 Knowledge Mosaic Inc. All rights reserved."



Reap the Benefits

- Substantial time and cost savings
- Improved compliance risk management
- More accurate, organized record-keeping
- Fast, reliable notification of relevant activity
- Peace of mind

With KM Sentinel, You Can:

- Locate records using advanced text search capability and a multitude of search parameters
- Receive daily electronic alerts covering the most recent regulatory activity
- Flag incoming records to designate which of your company's internal policies are affected, or which people are assigned responsibility
- Assign priority status based on effective dates, the regulatory importance of a rule change, or other criteria you choose
- Forward rulemaking alerts to those responsible for specific policies
- Create and distribute customized reports according to the parameters and filters you select

The screenshot shows the KM Sentinel interface with search filters for Entity (listing various financial entities like BATS, BSE, etc.), File No., FINRA Notice No., Rule Status, and Record Status. Below the filters is a table of records with columns for Entity, File/Notice Number, Labeled Date, Risk Status, and Reference. The table contains four rows of data, each representing a different regulatory notice.

Entity	File/Notice Number	Labeled Date	Risk Status	Reference
BATS	SR-BX-2010-084	12/6/2010	Approved	BATS/BOI Data B.C. Inc. (Federal Register Notice, 12/6/2010) Notice of Filing and Immediate Effectiveness of Proposed Rule Change, as Modified by Amendment No. 1, to Effect, Through December 31, 2011, the Pilot Program that Certain Certain Claims to be Quoted in Penny Increments on BATS (SEC Release, 11/29/2010)
FINRA	SR-FINRA-2010-060	12/6/2010	Approved	Financial Industry Regulatory Authority, Inc. (Federal Register Notice, 12/6/2010) Notice of Filing and Immediate Effectiveness of Proposed Rule Change to Extend to July 16, 2011, the Pilot Program for FINRA Rule 4200 Margin Requirements to Credit Default Swaps (SEC Release, 11/09/2010) Proposed Rule Change to Extend to July 16, 2011, the Implementation of FINRA Rule 4200 Margin Requirements to Credit Default Swaps: Text of Proposed Rule Change (PRO Rule Filing, 11/22/2010)
CBOE	SR-CBOE-2010-102	12/6/2010	Approved	Chicago Board Options Exchange, Inc. (Federal Register Notice, 12/6/2010) Notice of Filing and Immediate Effectiveness of Proposed Rule Change Related to the Penny Pilot Program (SEC Release, 11/29/2010)
NYSEAMEX	SR-NYSEAMEX-2010-107	12/6/2010	Approved	NYSE Amex LLC (Federal Register Notice, 12/6/2010) Notice of Filing and Immediate Effectiveness of Proposed Rule Change Amending Options Trading Rules in Order to Extend the Penny Pilot in Options Contracts to Certain Issues Through December 31, 2011 (SEC Release, 11/09/2010)

Ready to find out more? Contact us.

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