



## Research Trak 360 BROKER REVIEW & VOTING SYSTEM

**Research Trak 360 (RT360)** is a web-based system that helps buy-side firms conduct broker reviews which are critical in determining and justifying proper commission allocations, research payments and improving broker service.

**RT360** is immediately available to your organization, is easily configured to review the key aspects of your research and trading-related broker experiences and provides the flexibility needed by your compliance and trade oversight committee. It shows the broker's analysts and sales traders, along with lists of events and interactions provided by each participating broker for your firm – via Cogent's Broker Trak module.

*Simplicity and accuracy* set **Research Trak 360** apart. Unlike Excel-based reviews, this proven system minimizes the risk of errors and yields more reliable results faster. Cogent provides pre-populated broker lists (which you can tailor or add to) and popular voting metrics to choose from.

### FEATURES

The **Broker Review Process** lets buy-side firms:

- Review research, trading, operations, and personnel based on what's important to you.
- Determine review criteria including areas of interest and questions to ask.
- Choose from a point-based review, a questionnaire style review or both.
- Assign weightings to different areas and specific questions, allowing the vote to highlight performance for truly important facets of the relationship.
- Assign weightings to individuals conducting the review, permitting a firm to conduct a review that includes high-level and junior members.
- Presents results in a variety of summary and detail reports including historical trends.
- Assign commission targets to brokers.

### OTHER FEATURES

- Add comments about broker performance or individual contributors within the firm.
- Distribute results internally or to brokers.
- Seamlessly expandable to fit the needs of organizations as their staff and requirements grow.

### BENEFITS

- Formal web-based broker review and voting supports the trade oversight committee in making better commission allocation and unbundling decisions.
- CFA Institute recommends a rigorous and repeatable review. RT360 helps you do just that while providing the disclosure regimes one needs.
- Performance reports track clients' better brokers and highlight firms that need to improve service.
- Customizable broker scorecards that can be printed or emailed to gain better broker support faster.
- More efficient tracking of research targets and the ability to set commission targets on a suggested or override basis – by broker.
- Comprehensive management analysis via tracking of prior period review and voting trends.
- Vote logistics, reminders and follow-ups ease the workload on the administrator and improve the efficiency of the vote.
- Better investigation tools to assist management in reviewing the details behind the voting decisions being made.
- Integrates with entire Cogent Commission Management suite for extensive trade reporting, reconciliation and CSA Payment administration.
- Reduces operational risk inherent in manual or Excel-based broker reviews.

## **About ConvergeEx**

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