

Contextual surveillance.  
Insightful analytics.



## Modern Capital Markets in two words? It's complicated...

There has been a dramatic shift in recent years with coordinated global efforts under way to improve and uphold the integrity of markets. Regulatory requirements and compliance standards across multiple markets, jurisdictions, and asset classes are ever-changing and increasingly complex.

Financial services firms are exposed to a wide range of potential risks. Systemic and operational risk, human error, market abuse, and unprofitable trading can lead to precarious situations. Missing intelligence from streams of structured and unstructured data can create wrong, high-level investment decisions.

*Ancoa is a highly sophisticated, yet easy to deploy and use, monitoring and surveillance platform across asset classes for exchanges, broker-dealers, investment firms and regulators.*

## Take full control

Ancoa helps exchanges, regulators, buy and sell-side firms take full control of their regulatory, reputational and operational risks across markets, functions and asset classes.

Surveillance is both a regulatory obligation and an advantage. Firms can benefit from reputational and commercial advantages by applying a rigorous approach to contextual surveillance, using powerful visualisation tools and reaping analytical data insights.

We help improve market integrity by providing greater visibility over trading behaviour on a single platform. Our independent and real-time approach to monitoring, analytics, alerting and reporting helps firms identify and manage potential risks of market abuse, fraud and operational shortcomings as well as potential business opportunities.

**Firms can meet their surveillance obligations with confidence, gaining insightful business intelligence with ease.**

### ANCOA IS DESIGNED TO

*Provide actionable, contextual insights, improve responsiveness to alerted events, and enrich decision-making processes by replaying and reconstructing trades.*

*Process and analyse large volumes of complex data at high speeds and readily adapt to changing market conditions, data inputs and regulatory requirements.*

*Build greater cohesion between the trading, compliance and operations functions, allowing individual access to a single data source for event reconstruction.*

*Offer a highly cost-effective approach to deployment with controlled operating costs and an early return on investment generated from powerful trading insights.*

# Ancoa surveillance technology: gain intelligence, create advantages

Built for greater cohesion between the trading, compliance and operations, Ancoa helps exchanges, buy-and sell-side and regulators identify blind spots in their operations, turning the intelligence gained to their compliance, trading and operational advantage.

Due to new regulatory surveillance requirements, we have seen the demand for Ancoa's capabilities expand across asset classes, including cash equities, swaps, futures, options, derivatives, fixed income, currencies, energy and commodities.

## System overview

- Cross-market and multi-asset trading on exchange including OTC and RFQ
- Global regulatory coverage
- Large volumes of data processed in real time or T+1 as required
- Highly sophisticated, yet easy to deploy and use
- Cloud, on-premise or hybrid installation options
- Ability to connect to both structured and unstructured data sources



## Software functionality

- |  |   |  |
|--|---|--|
| <p> <b>Alerts</b><br/>Industry-leading accuracy, prioritised, real-time, proprietary or pre-defined</p>   | <p> <b>Insightful analytics</b><br/>Actionable, contextual insights</p>                          | <p> <b>Testing</b><br/>Assess new algorithms &amp; trading strategies</p>   |
| <p> <b>Contextual surveillance</b><br/>Social media, e-coms, news and internal behaviour intelligence</p> | <p> <b>Monitoring</b><br/>Unified approach for full transparency through flexible dashboards</p> | <p> <b>Case management</b><br/>Thematic review of alerts to build a case</p>  |
| <p> <b>Powerful visualisation</b><br/>Different views create insights from high level to detailed</p>     | <p> <b>Reporting</b><br/>Proprietary or standard in seconds</p>                                  | <p> <b>Participant profiling</b><br/>Detailed profiling of market participants, counterparties, clients to review historical trends and trading behaviour</p> |

## Three lines of defence

As regulatory and risk environments become more complex, it is best practise for firms to implement a 'three lines of defence' model to manage regulatory, reputational and operational risks across:

1. Business operations/front-line units
2. Compliance and risk
3. Independent auditors

**Trading, compliance and independent auditors can use our powerful tools to aggregate information visually, enabling a central point of oversight from within a single platform.**

## Who we are

Founded in London in 2010, Ancoa's management team brings together a strong pedigree and track record in capital markets, technology, surveillance, analytics and entrepreneurship. Ancoa is well-capitalised and building out its operations on an international basis to support its fast growing community of brokers, buy-side, regulated markets, MTF, SEFs, ATS and regulator clients.

## Let us help your firm take control

Please contact our sales team for more information and a free demo. Independent subscription or enterprise versions available.

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