

US Capital Markets: Gain Trading Intelligence From Your Surveillance Platform

Opportunity alert

Within today's increasingly complex financial markets, firms want to maintain a competitive advantage while safeguarding regulatory compliance.

A comprehensive market surveillance solution can achieve both: it helps ensure regulatory compliance and provides Heads of Desk, Technology and Operations with critical analytical tools that identify new trading opportunities, remove blind spots between lines of business, and ultimately help gain a competitive edge.

Monitoring of market activity enables firms to uncover opportunities within data trends. This can be done in a streamlined way keeping in check regulatory overheads through automation.

Rigorous results

Identifying manipulative trading behavior and grappling with complex, ever-changing regulations carries a considerable amount of risk. Market abuse and sanctions regulations continue to become more stringent and prescriptive.

Recent examples include:

- The SEC's proposed **Rule 15c3-5** requires brokers to monitor clients' trade executions in real time;
- The **Regulation SCI** obliges Alternative Trading Systems (ATS), market data information providers, clearing agencies and national securities exchanges to maintain robust technology controls with the ability to take prompt action and report non-compliance to the SEC when problems arise;
- The European **Market Abuse Regulation**, which will cover a number of instruments traded in the US due to extraterritoriality,
- **The OFAC Sanctions** list rapidly changes. Dealing with sanctioned individuals, entities and instruments poses a risk for financial firms.

Financial firms are faced with a growing number of regulatory requirements and need adequate tools and analytics to efficiently sift through large volumes of trading data. Ancoa's surveillance platform quickly flags relevant alerts of potential market abuse and helps firms effectively evaluate potential abuse cases before reporting suspicious trading behavior to the regulator.

Ancoa Technology: Insightful analytics through contextual surveillance

The Ancoa platform provides immediate and in-depth insight into traded instruments and market participants, with trading data analysis conducted in real time or T+1. Our advanced visualization tools allow rapid investigation into incidents, with the ability to capture all investigation steps accompanied by audit trails and reporting functions.

Our comprehensive system provides:

- Monitoring of trading behavior of clients, employees, algorithms and counterparties
- Distinct logic and parameters for each asset type including Cash Equities, Futures, Options, Bonds, FX, Commodities and Energy
- Analysis of market data, news, metadata and any type of unstructured data including electronic communication, social media and voice
- The ability to deal with multiple systems (OMS, email monitoring, client communication/CRM)
- Insight into business opportunities (for exchanges, brokers and buy-side firms)
- Improved operational insight and analysis, removing potential blind spots by means of context
- Management of data collection and review for annual audits
- Facilitating user workflow to investigate, document and report issues
- Management intelligence
- Minimizing 'noise' in the form of false positives through advanced logic and back testing capabilities

MARKET INSIGHTS

COMPLIANCE WITH REGULATIONS

PRE-EMPTIVE ANALYTICS

OPERATIONAL INSIGHT

ABUSIVE BEHAVIOR

CONDITIONAL INDICATORS

About Ancoa

Ancoa provides contextual surveillance and insightful analytics for Tier 1 exchanges and brokers across the U.S. With expertise in dark pools, options broker businesses, fixed income and currency markets, Ancoa is building a well-capitalized global solution applicable to multiple markets and asset classes.

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.

Our highly sophisticated, yet easy to deploy and simple to use monitoring and surveillance platform helps firms take full control of their regulatory, reputational and operational risks across markets, functions and asset classes.

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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