

RIMES RegFocusSM Market Surveillance

Challenges We Solve

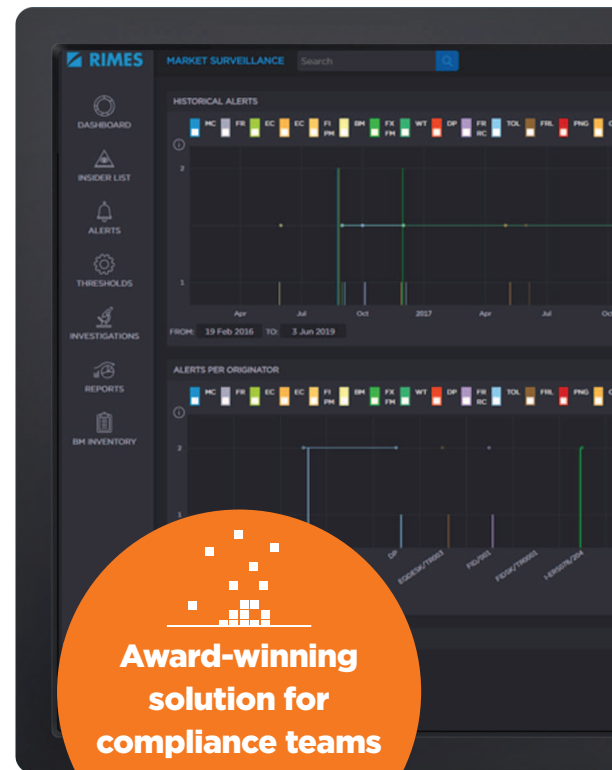
- ✓ Provides a cost-effective and intuitive solution for compliance officers to monitor and identify market manipulation and insider dealing
- ✓ Straightforward list management and detailed reporting functionality allows simple integration into existing workflows
- ✓ Customizable calibration and model tuning allow configuration to meet the requirements of your firm's investment strategies, greatly reducing unwanted noise
- ✓ Comprehensive coverage across multiple asset types and experience in integrating large data sets provides flexibility to adapt to your changing business needs.

Market Manipulation and Insider Dealing Increasing Regulatory Focus

Regulations continue to place a great burden on the oversight functions within firms and increase the cost of compliance for firms of all sizes and market sectors. Identifying, monitoring, mapping and reporting on a broad range of behaviors is a major undertaking requiring people, technology and ongoing support. Is there an alternative to a costly in-house project or out-of-the box vendor?

Rely On RIMES

RIMES RegFocus Market Surveillance (MS) offers a sustainable, cost-effective alternative to navigating the complex and evolving regulatory environment. Our service is designed specifically to facilitate the identification of insider dealing and market manipulation, in accordance with key regulations such as the EU Market Abuse regulation (MAR Reg. EU 596/2014) and the broad range of requirements set out in MiFID 2 (Directive 2014/65/EU), and SEC Rule 10b-5, CFTC Rule 180.1, and Sections 747 & 753 of the Dodd-Frank Act in the US.



Award-winning solution for compliance teams

Comprehensive monitoring



Comprehensive monitoring of relevant financial instruments and asset classes across different jurisdictions using analytical models to detect potential market abuse and insider dealing with functionality to enable EU firms to meet Suspicious Activity & Order Report (STOR) submission requirements. These include:

Instruments:

- Equities
- Fixed Income
- FX
- On Exchange & OTC Derivatives (including Commodities)

Models:

- Front Running
- Wash Trading
- Layering & Spoofing
- Marking the Close
- Excessive Cancellation
- Dominant Position
- Trading on List

RIMES RegFocus Market Surveillance
 The award-winning solution that enables compliance teams to quickly investigate and manage potential market abuse scenarios

