

## Next generation capital markets surveillance and monitoring

Cross-broker, cross-jurisdiction and cross-market



### Criminal activity detected by current systems is limited

Current monitoring and surveillance systems do not hold the data needed to systematically detect certain types of financial crime and market abuse risks.



### Pharos uses cross-participant data to detect the undetected

Using data across multiple organisations, cross-broker and cross-jurisdictional, Pharos can identify the risks that current tools cannot and enables investigators to work collaboratively and more efficiently.



### Operational costs for existing systems are high for limited output

False positives for surveillance and financial crime monitoring are exceptionally high. Less than 0.01% alerts result in regulatory disclosures leading to high costs and limited effectiveness.



### A new dawn for monitoring risk and criminal behaviours in markets

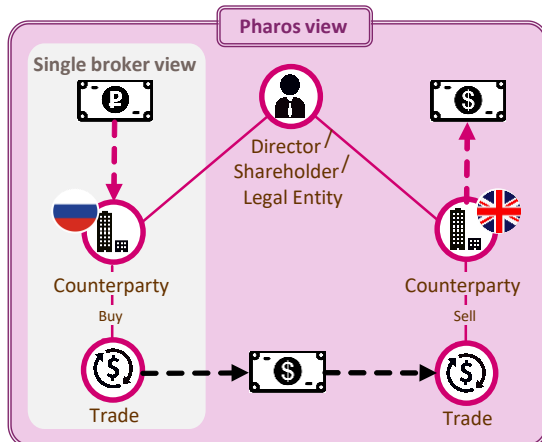
Pharos brings inter-connectivity to the marketplace by providing coverage of both financial crime and market abuse risk management within a single user interface.

## Pharos more effectively detects key capital markets financial crime and surveillance risks through its extended transparency across the participant network

### Pharos Financial Crime example

#### Cross-broker mirror-trade

Extended transparency across participants

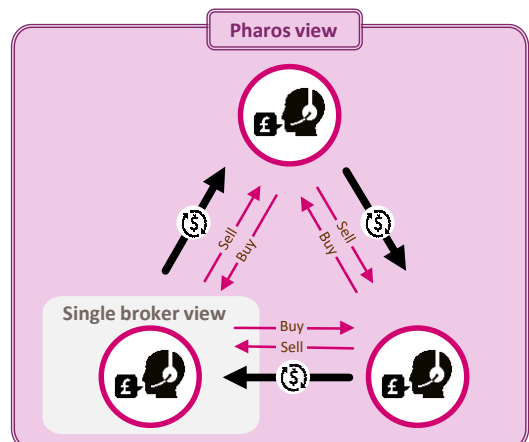


Mirror trades enable criminal funds to be laundered from high risk to low risk jurisdictions. A buy in the market using illicit funds is mirrored by a matched sell to move and create clean money.

### Pharos Market Abuse example

#### Three-cornered wash-trades

Identify multi-broker behaviour



Multiple wash trades between three collusive accounts at different brokers. The ring generates profit by moving the market and trading out of the move or generating excessive trading or brokerage commissions.

# Pharos

detecting the undetected  
market abuse and financial crime

## Baringa and Access Fintech bring together industry leading data services and financial crime and surveillance technology solutions



The Pharos prototype ingests external data sources together with cross-broker intermediated data, including global companies fundamentals data (ownership, legal entities), company and social networks, cross-broker trade and settlements data to detect unusual trading behaviour



### Baringa AI Solutions

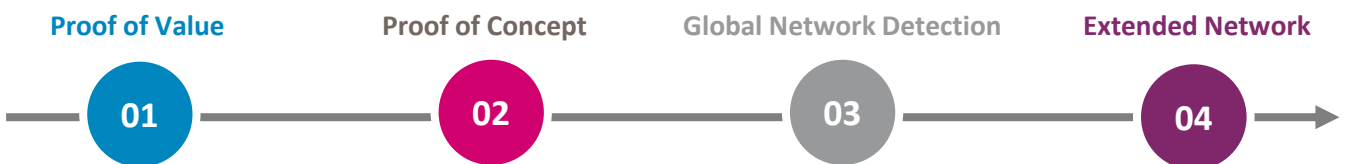
- ▶ Industry leading financial crime and surveillance domain, advisory, tech and data expertise.
- ▶ Multiple financial crime and surveillance, industry hubs/utilities technology solutions and software designed and built.
- ▶ Software development partner of Access Fintech, and advisory partner on Access Fintech's CSDR solution.



### Access Fintech

- ▶ Enables controlled trade and exception sharing across a Global Exception Network in a trusted environment.
- ▶ Pre-existing, approved and dedicated data and cloud infrastructure for leading investment banks and many others being on-boarded.
- ▶ Comprehensive cross-broker alert management capability with advanced and intuitive user experience.

The journey from proof of value with your data to an industry wide capability:



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