



# Brokerage Surveillance

**NAVAERA'S SURVEILLANCE ON-DEMAND FOR BROKERAGE** is a SaaS solution that empowers retail and institutional brokerage organizations to mitigate regulatory, market and litigation risk and effectively ensure full compliance with global regulatory obligations.

Navaera Surveillance On-Demand for Brokerage solution empowers retail and institutional brokerage organizations to mitigate regulatory, market and litigation risk and effectively ensure full compliance with global regulatory obligations.

The solution enables brokerages to detect and deter manipulative, improper or non-compliant practices and provides a library of known scenarios that might indicate sales risk, trading abuse or misconduct. Using Navaera's EnScreen ESP event stream processing application, the solution processes streaming data in real-time to spot suspicious trading patterns or anomalies that could indicate errors, violations or problematic transactions or accounts. Once a suspicious event is identified, compliance professionals can track, evaluate and deal with the event using the EnView IMF case management platform within the solution.

The On-Demand solution is able to detect a variety of known and previously unseen trading patterns that could indicate market manipulation or abuse, such as parking, unusual trading and favorable cancels and corrects. The solution supports standard regulatory requirements and can also be customized to fit evolving risk factors as well as specific needs of individual retail and institutional broker-dealers, investment banks and others.

Navaera Surveillance On-Demand for Brokerages offers these features and benefits:

- Monitors sales and trading practices in real-time across multiple business lines and products;
- Supports Reg NMS and MFID requirements by evaluating pricing data in real time across multiple markets;
- Provides a complete audit trail and empowers auditable review;
- Complex rule analytics that reduce false positives; and
- World class support for implementation, configuration, use and refinement;

By automating surveillance and streamlining risk case management, Navaera Surveillance On-Demand for Brokerages offers a cost-effective way for brokerages to increase business process efficiency and reduce compliance costs.