**Your Challenge**

Market regulators worldwide have set higher standards to ensure participants really trade “by the book”. In Europe, for instance, the Market Abuse Regulation (MAR) regularly upgrades its compliance criteria and has recently reinforced its Suspicion Transaction Reporting (STR) obligation. It is important for financial institutions to monitor and ideally prevent abuses and manipulation attempts but it is equally important to report them and disclose the processes put in place to do so.

Of course financial penalties are a high stake for these companies but they are accompanied by reputational damages and ultimately loss of clients’ trust. This is why it is crucial to invest in the right process and use the right tools in that respect.

BME Inntech, a SIX company, has built its reputation on a rich expertise in the field of RegTech. Naturally our teams have worked with market participants to develop and propose a trade surveillance solution suite that can support their compliance with this regulatory challenge and with their own best practice policies.

**Our Offer**

SICAM 2.0, our Integrated Service against Market Abuse, is the tool that enables the compliance with regulatory requirements related to the fulfilment of the STR obligation according to the MAR. Additionally, it provides a function supporting the Internal Code of Conduct management.

SICAM 2.0 gathers all the information needed for the detection and analysis of market transactions in a platform that notifies Compliance Officers about any information or situation that requires their attention via automatic alerts.

SICAM 2.0 generates alerts, tailored to each entity, that show the details of market transactions effected by clients or the entity itself. This kind of alerts allows the control of most of conducts defined as suspicious of market abuse or of market manipulation.

SICAM 2.0, whose new version incorporates information from more than 40 international markets, is a Software as a Service with web access, without infrastructure or hidden costs. The new tool has been built with an architecture of Big Data technologies and state-of-the-art continuous integration, which allows the incorporation of new functionalities in an agile way according to the client’s needs.

**Features**

- Build ad-hoc queries to dive deep in your organization’s data.
- Check triggered alerts, filter over them, tag them.
Perform investigations over any triggered alert. Create records with all relevant context involved.
- Create internal reports over number of alerts, % of false positives, investigations carried out by compliance officers, etc.
- Manage the Internal Code of Conduct.
- Easily check client’s historical behavior and statistics.
- Easily check client’s previous alerts investigations.

12 Standard Alerts Types
The platform gives you access to standard alerts that you can easily customize:
- Orders entered before and during auctions
- Painting the tape / Wash trading
- Corporate Actions
- Front Running
- Insider Trading
- Order Modifications
- Abnormal behavior
- Trading derivatives and underlying
- Market manipulation
- Spoofing
- Liquidity provision and share buy-back programs
- Alerts based on groups of people

Compliance at Your Fingertip
With SICAM 2.0, you can easily and intuitively monitor transactions (through the orderbook, intraday charts, alerts...), set up efficient compliance processes and carry out your reporting obligations.

Key Benefits

- **Coverage**: 40 exchanges and MTF are covered.
- **Cost mitigation**: the SaaS solution allows no infrastructure cost on your side and the market data is included.
- **Security**: the web access is secured with 2FA security and the sensitive data is encrypted.
- **User experience**: tailored to your needs, you may use standard alerts, customize them or build your own ones in a user-friendly environment.

No infrastructure or any other kind of hidden cost

Software as a service

| Web based access with 2FA security | Encrypted sensitive information within SIX data centre | All available Market Data included (no additional costs) |

For further information, please visit our website: www.six-group.com.

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