

SIA EAGLE Intermediaries

The sharp-eyed compliance tool

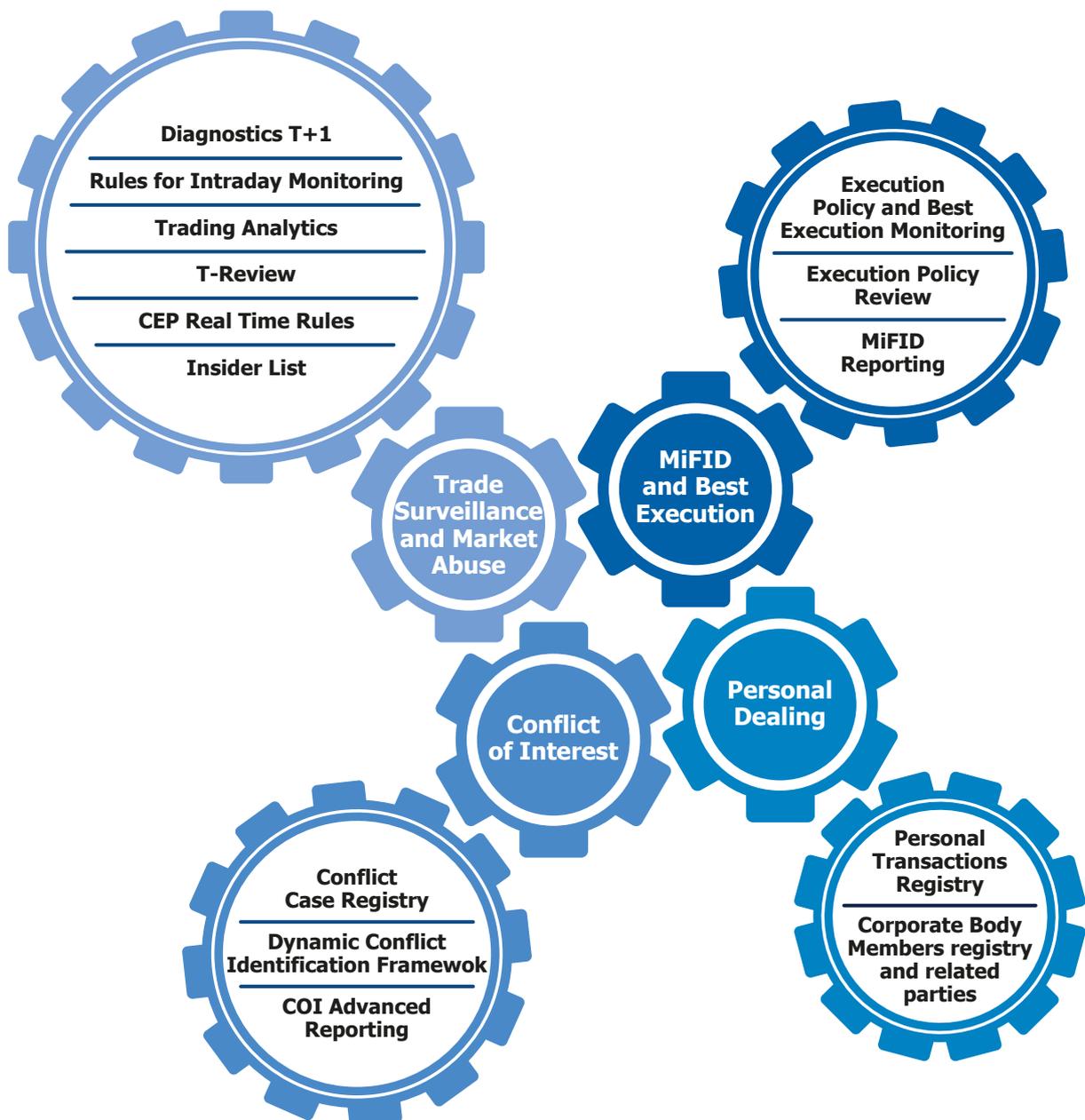


SIA EAGLE

Intermediaries

**The sharp-eyed of compliance tool,
the crucial role of compliance**

The regulatory framework is continuously changing to make sure that financial markets work well so that consumers get a fair deal. Due to this evolution firms are making a greater effort to be compliant with this waterfall of regulations, guidelines and best practices. The implementation of new regulations, from Market Abuse to MiFID, implies for intermediaries to constantly monitor and control their daily operations through dedicated functions duly separated in their organization. Being non-compliant is not an option as it results in huge liabilities, loss of reputation and huge fines by supervising bodies.



THE COMPLIANCE FUNCTION NEEDS DEDICATED TECHNOLOGY

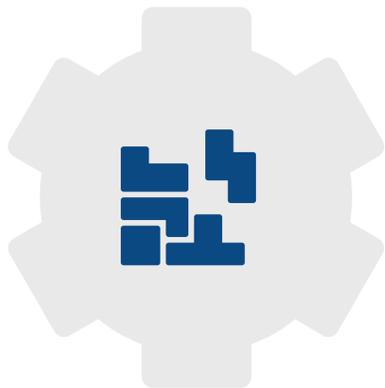
SIA EAGLE is a solution capable of meeting regulatory obligations and contributing to enhance the reputation of investment firms.

SIA EAGLE gives a centralized overview of the investment behaviours, both at single legal entity and at banking group level.

In conformity with IOSCO principles, European Directives and Country specific regulations, **SIA EAGLE** Intermediaries performs checks on the following asset classes (traded on Regulated Markets, OTF, MTF and Over The Counter):

- Equities
- Fixed Income
- Derivatives

SIA EAGLE INTERMEDIARIES: THE MODULAR SOLUTION FOR THE COMPLIANCE FUNCTION



SIA EAGLE is a modular solution able to support a step by step implementation approach and an inter-directive view and monitoring.



SIA EAGLE provides a number of ready-to-use rules which identify irregular market behaviours (for Market Abuses purposes), orders with low quality level (for MiFID), interests matching (for Conflicts of Interest) and suspect employees transactions (for Personal Dealing).

KEY VALUES



Standard monitoring algorithms

SIA EAGLE provides standard monitoring algorithms, derived directly from IOSCO principles and the European directives, that can be easily tailored to the needs of each intermediary way of business; in fact it is used by commercial banks, asset management companies, brokers, traders, private bankers, corporate banks, allowing also a Group view.



Centralized analysis capabilities

Powerful analytics tools empower users to perform analyses on volumes of information that have reached unprecedented levels. **SIA EAGLE** allows end users to build ad hoc analysis, extending visualization capabilities by aggregating data at different levels and present them through interactive dashboard and charts.



Audit Trail

SIA EAGLE scans all the transactions (full audit trail) providing to Compliance Officers only the evidence of non compliant behaviours, in order to complete the analysis with qualitative elements and decide the appropriate next steps.



Easy deployment and flexibility

All the modules are independent and can be used as "stand alone", though they are able to interact with other modules if present and optimizing common information.



SIA EAGLE offering terms

SIA EAGLE is available in different options:

- Software As A Service
- In House
- Managed Service



SIA qualified support

SIA is able to provide round-the-clock support, offering high quality help desks services to customers.



SIA experience

SIA has a 15 years experience in the Compliance and Surveillance field.

SIA EAGLE solutions allow Intermediaries, Trading Venues, Regulatory Bodies, Issuers and Owners to have a secure, quick and low cost access to the information needed for the correct execution of their activities.

SIA can bring unique strengths as it offers worldwide solutions and services to cover the fully integrated value chain of Trading, Surveillance, Clearing and Settlement.



Full availability of all the rules, activation is manageable at user level

All the ready-to-use rules are included in the standard product and can be activated by users as soon as they need them.

About SIA

SIA is European leader in the design, creation and management of technology infrastructures and services for Financial and Central Institutions, Corporates and Public Administration bodies, in the areas of payments, e-money, network services and capital markets.

SIA Group provides its services in around 40 countries, and also operates through its subsidiaries in Hungary and South Africa. The company has offices in Milan and Brussels.

SIA GROUP

- **SIA**
the parent
- **Emmecom**
innovative network applications for banks and businesses
- **Perago**
in South Africa
- **Pi4Pay**
services for Payment Institutions
- **SIA Central Europe**
in Hungary
- **TSP**
front-end services for companies and P.A.



SIA GROUP key numbers in 2014

9.2 billion
credit transfers and collections



3 billion
card payments



30.2 billion
trading and post-trading transactions



326 terabytes
data carried on the network



1,500
employees



€426.3 million
revenues



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