

MARKET SURVEILLANCE SERVICE PACKAGES

Program Build · Assessment · Exam Readiness · Event Contracts · Training

Find your situation at the top of a column. Each package has a fixed scope and a clear deliverable.

BUILDING A NEW PROGRAM

new exchanges · new venues · new desks

CORE PACKAGE

1 Market Surveillance Program Build

FOR

Venues and firms standing up a market surveillance program from zero, including firms going through regulatory registration.

HOW THE BUILD RUNS

Program design and strategy

Policies and procedures

Alert setup and threshold tuning

Case management workflow

Daily data reconciliation

ALSO INCLUDES

- Registration support: market surveillance sections of your application and prep for regulator questions
- Market Surveillance Workshop (5)

DELIVERABLE

A working, documented program your team can run and defend.

2 to 4 months

RUNNING A LIVE PROGRAM

exchanges · broker-dealers · trading firms

2 Market Surveillance Program Assessment

FOR

Firms with a live program that want an outside view, often after a new CCO, a vendor change, or a regulator comment.

INCLUDES

- Review of policies, procedures, alert logic, thresholds, case files, and staffing against your products and risks
- Coverage matrix mapping each manipulation type to the alert that catches it
- Market Surveillance Workshop (5)

DELIVERABLE

Findings report with gaps ranked by regulatory risk, plus a remediation roadmap.

4 to 6 weeks

3 Exam Ready Review

FOR

Firms facing a regulatory exam, rule enforcement review, or registration review.

INCLUDES

- Mock exam of the market surveillance function
- Document request prep
- Testing of sample alerts and cases
- Interview prep for staff

DELIVERABLE

Readiness report with fixes to make before the review, plus a clean document package.

2 to 4 weeks

SPECIALTY & TEAM TRAINING

prediction markets · any team

4 Event Contract Integrity Program

FOR

Prediction markets and venues listing event contracts.

INCLUDES

- Insider risk mapping by contract type: sports, elections, economic data, company events
- Restricted lists and insider identification
- Alert logic for trading ahead of outcomes
- Account linkage review and escalation procedures

DELIVERABLE

A documented insider trading prevention and detection program built for event contracts.

2 weeks

5 Market Surveillance Workshop

FOR

Compliance, trading, and leadership teams.

INCLUDES

A full-day boot camp with your team on how to view market regulation, so your program covers the manipulative and suspicious trading risks your firm actually faces.

- Market abuse typologies
- How each alert ties to a real risk
- Working a case from alert to escalation

DELIVERABLE

A team that can defend the integrity of the whole program to auditors and regulators, plus materials they keep.

1 full day

Included in packages 1 and 2

SCOPE NOTE These packages do not include daily trade surveillance. No package includes reviewing alerts, dispositioning cases, or making escalation decisions on the client's behalf. The firm and its internal team remain responsible for day-to-day market surveillance at all times. Each package makes sure the structure, policies, and procedures behind that work are rock solid, so the firm can protect the integrity of its platform and stand up to regulatory scrutiny.

■ New programs ■ Live programs ■ Prediction markets ■ Team training