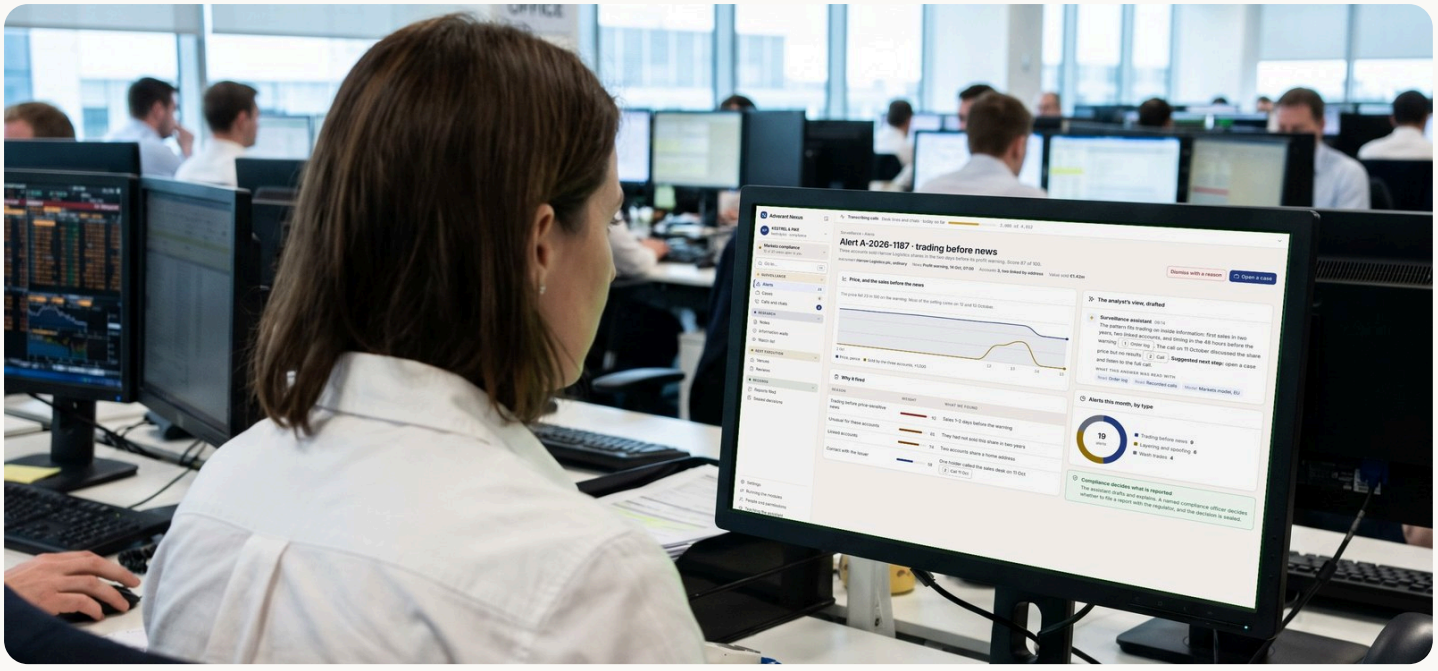
ADVERANT NEXUS · CAPITAL MARKETS PACK

Research behind walls. Every call on record.

The capital markets pack brings research, trading, surveillance and recorded communications to Nexus. AI links orders to calls and chats, explains every alert and drafts with sources. Compliance decides what is suspicious. Every decision is sealed.



One alert, opened. Sales before a profit warning, with the reasons and the call they link to. Sample data.

Alerts with reasons. Decisions with names.

Walls between research and sales

Information walls apply to files, chat, calls and the assistant. A blocked attempt is logged without showing what was asked for.

Calls and chats reviewed

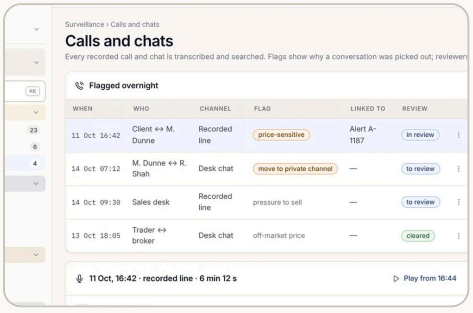
Recordings are kept as the rules require, transcribed and read. Possible tip-offs and off-channel requests are flagged.

Best execution with reasons

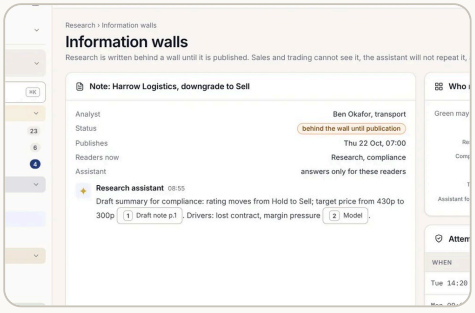
Venue results are compared with a benchmark each quarter. The committee sees why a venue looks worse.

Screens for each desk

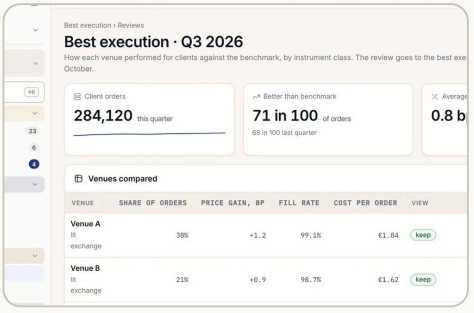
Sample screens with a made-up investment firm



Calls and chats. Flagged conversations, and the words that triggered the flag.



Research behind a wall. Who may see a note before it is published, and who tried to.



Best execution. Every venue compared for the quarterly review, by instrument class.

The capital markets pack
Every screen and rule
adverant.ai/industries/markets

Watch the film
The 10-minute tour
youtu.be/eohd-5gDap4

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Adverant Limited · Registered in Ireland, company number 826944 · Venture Hub, 136 Capel Street, Dublin.

Who uses it

One pack, with a view for each role

Surveillance analyst

Alerts, the orders and communications behind them, and the case to build.

Head of compliance

Cases waiting for a decision, and reports to the regulator ready to send.

Research analyst

Research files, sources and the wall around them.

Sales and trading

Clients, orders and their own calls, with walled research hidden.

Best execution committee

Venue results, outliers and the reasons behind them.

How it works: from a trade to a sealed decision.

01

Capture

Orders, trades, calls and chats arrive and are kept as the rules require.

02

Link

AI links unusual trading to the communications around it and explains why it fired.

03

Decide

An analyst reviews. Compliance decides whether to report it.

04

Seal

The decision, the evidence and any report sent are sealed.

WHAT IS SEALED

Every judgement, kept as it was made.

When compliance closes an alert or files a report, the pack seals the record with the evidence it relied on.

Anyone can check a sealed decision offline with a free verifier, without an account with us.

THE RULES YOU ANSWER TO

- **MiFID II** · Directive 2014/65/EU
  Recorded calls and chats (Art. 16(7)) and best execution (Art. 27)
- **MiFIR** · Regulation (EU) No 600/2014
  Transaction reporting and transparency
- **MAR** · Regulation (EU) No 596/2014
  Suspicious orders reported (Art. 16) and insider lists (Art. 18)
- **DORA** · Regulation (EU) 2022/2554
  ICT risk, incident reports and third-party providers
- **EU AI Act** · Regulation (EU) 2024/1689
  AI literacy for staff and transparency for AI-made content
- **GDPR** · Regulation (EU) 2016/679
  Client and staff data in recordings, used for a stated purpose

Close to the trading floor, under your control.

Run the pack in your own data centre or in our EU cloud.



Our EU cloud
Hosted in Europe



Your data centre
Or your own cloud account



The appliance
A box in your own rack



Fully offline
No internet connection

WHY ADVERANT

Nexus is one platform for every industry: the capital markets pack adds the words, workflows and rules, and the platform brings permissions, AI agents with limits, a budget for every model and a sealed record of every decision. Nine patent applications are pending in Ireland on how AI agents get authority, stay within it and have what they do recorded.

Don Scott, Founder and CEO, architect of Nexus. **Donal Hanafin**, Co-founder, two decades building products for regulated financial services.

HOW TO START

Pick one desk and one job, such as overnight review of flagged calls and chats. We connect your systems, switch on the pack, and you see it working on your own records. We can start on a copy of past records, so nothing live is touched until you are happy.

Show me with my own work
Don Scott, Founder and CEO · don@adverant.ai

The capital markets pack, in detail
adverant.ai/industries/markets

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