



EVENTUS

Validus Digital | April 2022

Eventus Overview

Eventus is the global leader of risk monitoring and trade surveillance services for digital asset venues.

Future Proofing your Evolving Digital Asset Business

“

As regulatory scrutiny escalates, as venues expand into derivatives, as more crypto-intermediaries establish themselves with a growing retail community, and as traditional institutions establish their presence with digital assets, it has become increasingly clear that clients want Best-in-Breed tools that are interoperable, flexible, customizable and fit-for-purpose.

”

–Joe Schifano, Global Head of Regulatory Affairs, Eventus



Finance Native

Our staff includes former Chief Compliance Officers and practitioners that have been at the forefront of technological and regulatory change for decades.

Maximize resources with an efficient and persistent surveillance program



Invest in Compliance

Proper surveillance tools are a proactive investment that boosts reputation with regulators and mitigates the high cost of latent regulatory enforcement.

Proven technology to monitor fraud and abuse



Future Proof your Business

Safe, trusted and compliant business encourages institutional investment and attracts institutional customers.

Market Leader in Digital Assets

1 Proficiency

Proven track record of building fit-for purpose surveillance methods through **collaboration with clients/prospects**

- Demonstrable success helping clients obtain necessary regulatory licenses
- Ability to help clients rapidly expand to other asset classes, e.g. derivatives
- Battle-tested professionals provide expert guidance on surveillance and compliance frameworks in global jurisdictions and multiple asset classes

2 Product

Scalable, **highly performant technology** that meets the demands of an ever-growing and evolving market

- Natively supports cross-market surveillance of tokens, securities, and issuers
- Ability to dynamically customize and calibrate procedures
- Operational on a 24x7 basis, processes billions of messages in real-time, to 8 decimal places

3 Presence

Go-to provider for **diverse jurisdictions and asset classes globally** to ensure venues meet regulatory requirements as they scale

- Global footprint includes: United States, Canada, United Kingdom, Hong Kong, Singapore, UAE and growing
- Growing footprint with digital asset venues trading derivatives
- TradFi client base increasingly using Validus across all asset classes, including digital assets.

Our Leadership Position in Digital Assets

Trusted by top crypto exchanges:

coinbase

ErisX

BitMEX

GEMINI

FTX

BITBUY

BITBUY

Eventus provided superior advisory services throughout the onboarding process, given their industry-specific knowledge learned from working with leading global digital asset exchanges, and a team who have spent their entire careers in trade surveillance and financial markets. They thoroughly understood Bitbuy's requirements and regional regulatory needs, making it incredibly simple for our team to go live. Our regulatory requirements are built into their tool, with the ability to add more capabilities and features as the landscape evolves, as well as scale to meet the needs of Bitbuy's fast-growing marketplace."

MICHAEL ARBUS
CHIEF OPERATING OFFICER

GEMINI

"The digital asset space is a constantly changing environment and working with a solution that is tailored for our market needs, including built-in flexibility as the landscape evolves, is critical. Eventus has a great track record, and its solution combines strong machine-learning and automation capabilities alongside a high-touch support model."

NOAH PERLMAN
CHIEF OPERATING OFFICER

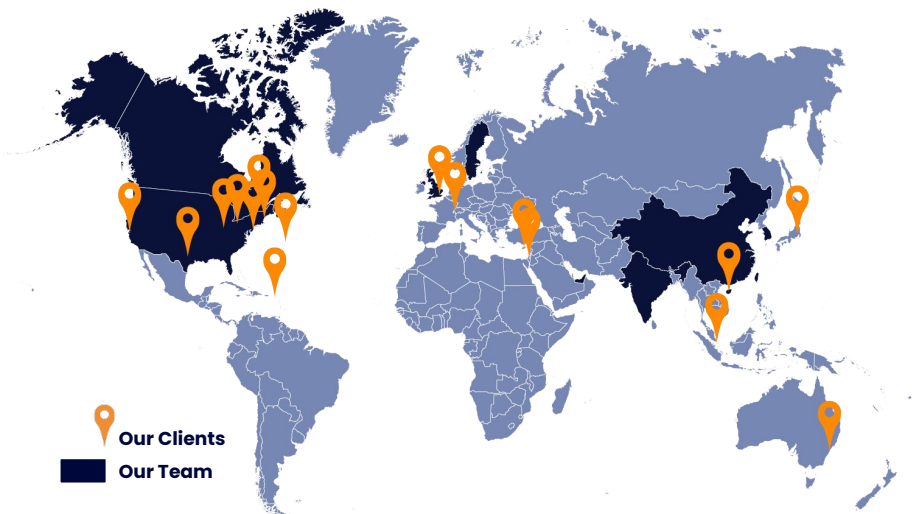
FTX

"FTX US is committed to being at the forefront of compliance, security and transparency in the cryptocurrency ecosystem. We chose Eventus because its team has extensive experience in meeting the highest regulatory and compliance standards across multiple asset classes – including crypto and listed derivatives – and has ensured that Validus can address the rigorous demands of the marketplace. This is the latest step in our mission to deliver industry-leading regulatory and compliance services to investors trading on our platform."

BRETT HARRISON
US PRESIDENT

What Makes Eventus an Industry Leader

Eventus covers all asset classes including equities, options, futures, foreign exchange, fixed income and digital assets.



Fast Facts

- 1 Remote Since Inception**
91 employees in 8 countries
- 2 Robust Technology**
Handles billions of messages a day in real time
- 3 Compliance & Capital Markets Professionals**
Our senior leaders have an average of 20+ years of compliance experience



80+

Global Multi-Asset Class Clients

\$50 Million

Raised in Funding since Inception

Actively surveilling activity
in **100+ market centers**



20+ Awards & Honors

Recognized for excellence by prestigious organizations including the following:



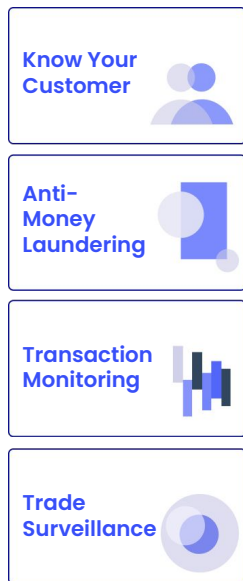
Sell-Side Technology
Awards Winner 2021
Best sell-side market
surveillance product
Eventus Systems

Validus Overview

Validus is a comprehensive, multi-asset class platform for monitoring, tracking and analyzing trade flows and financial risk to maximize the efficiency of your regulatory operations

Single Pane of Glass

Holistic end to end risk monitoring and surveillance for Digital Assets



Validus native platform functionality is enriched with third-party data and tools to provide a:

Total Aggregated View of Risk

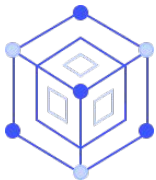


An exhaustive end to end workflow for:

Analysis, Reporting and Resolution

Validus Data Flow

Data Inputs



Market & Reference Data

Order Lifecycle Data

Transactions

Positions & Risk

Accounts & Wallets

Analysis

Alerts Management

Notebooks & Reporting

Robotic Process Automation

Surveillance
Procedures

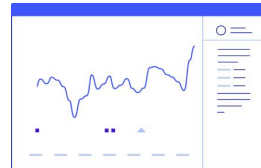
Risk &
Reconciliation

Analytics &
Statistics

Data Acquisition & Ingest

Integrations Marketplace

Workflow



Evaluation and Investigation

Alert and Case Management

Reporting

Supervisory Reviews

Compliance Program Management

API (Python) and Marketplace

Enables Interoperability
and Extensibility

Validus Cloud

Key Features



Cloud Platform

Global, high performance **cloud platform** for monitoring, tracking and analyzing financial risk on and off chain



Visualizations & Investigative Tools

Suite of **visualizations and investigative tools** allow rapid alert review and evaluation, tracked by custom workflows



Surveillance Procedures

200+ customizable **surveillance procedures** span all key areas of market abuse, manipulation and risk



Robotic Process Automation

Robotic process automation ensures only the most actionable alerts are escalated for further investigation



Rapid & Flexible Response

Alert triggers can be dynamically refined and calibrated for a **rapid and flexible response** to changing compliance needs



Interoperability & Extensibility

Third-party integrations provide **interoperability and extensibility** to future proof against shifting landscape



Simple Data Views & Exports

Build **simple data views and exports** with flexible reporting tools, whilst API access enables prototyping and interoperability



Deep Industry Knowledge

24x7 support from a global team with **deep industry knowledge** in capital markets, financial risk and regulation

Next Generation Surveillance



Rapid Implementation

Ingestion of any data type in any format streamlines onboarding and reduces time to market



Casting a Wide Net

Scalable technology built to handle the highest volumes ensures exhaustive coverage across trading flows



Anomaly Detection

Anomaly detection and pattern analysis ensure only the most actionable alerts are escalated for further investigation



Comprehensive Coverage

Support for all types of market manipulation strategies out of the box, for support of even the most complex market abuse behaviors

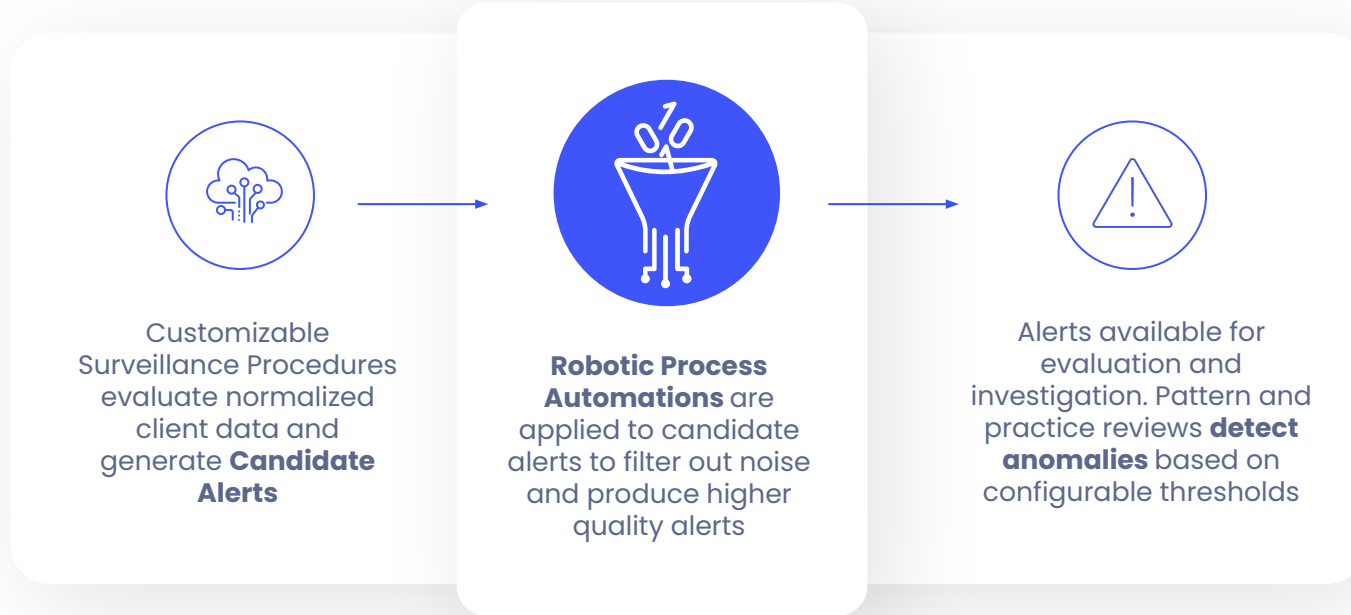


Dynamic Refinement

Fully configurable and customizable surveillance procedures reduce response times and increase agility

Robotic Process Automation

Anomaly detection and pattern analysis ensure only the most actionable alerts are escalated for further investigation



Surveillance Procedures and Reports *

Market Risk	Market Manipulation	Orders & Quoting	Supervisory Reports	Transaction Monitoring
<ul style="list-style-type: none">• Order Size• Profit/Loss Threshold• Max Exposure• Max Notional Traded• Max Quantity Traded• Max Committed Value• Max Order Value• % of market• Positions• Price Bands	<ul style="list-style-type: none">• Flashing• Front Running• Insider Trading• Layering• Momentum Ignition• Pinging• Pre-Arranged Trades (within and across accounts)• Quote Stuffing• Spoofing• Wash Trades (within and across accounts)• Money Pass	<ul style="list-style-type: none">• Valid Price• Avg Daily Volume (fills and orders)• Excessive messaging• Message Volume Ratio• Odd Lots• Order/Fill ratio• Cancels per second• Fills per second• Open Orders• Orders per second	<ul style="list-style-type: none">• Activity by account or trader• Alert workflow by Validus user• Alerts download• Alerts by account or trader• Alerts by procedure• Spoofing/Layering paired account rankings• Validus procedures information• Validus user information	<ul style="list-style-type: none">• High trading between accounts• One-sided activity• Deviations from expected activity• Consistent large losses• Accounts with little or no activity• Large or frequent account activity• Layering (transfers between accounts for no purpose)• Activity in flagged accounts

* This is a representative sample, not an exhaustive list. Please see Validus Procedure document.

Executive Team



PERRY BARTH
Chief Financial Officer

Previously VP, CFO of Alchemy Systems



JEFF BELL
Chief Operating Officer

Previously CEO of Lime Brokerage and EVP of Wedbush Securities



JEFF BOLKE
Chief Revenue Officer

Previously EVP, Enterprise Sales at Planview and VP of Sales at Accruent



JOSH BOSQUEZ
Chief Technology Officer

Previously CTO at Armor Cloud Security



OLLIE CADMAN
Chief Product Officer

Previously Chief Product Officer at Vela Trading Systems



LASEN MCGETTIGAN
Vice President of People

Previously head of Human Resources at ARM Energy



TRAVIS SCHWAB
Chief Executive Officer

Previously CEO/CCO of RGM Securities and VP of eBrokerage Sales at Societe Generale

Board of Directors

BEN CUKIER

Co-founder of Centana Growth Partners.
Former Partner of FTV Capital, a \$3.8 billion growth equity manager

FRED HATFIELD

Founder of Hatfield Advisory Services and a senior advisor at Patomak Global Partners. He also currently serves as the Chairman of the Board of Directors for ICE Futures U.S. CFTC Commissioner from 2004–2006

KRISHNA SRINIVASAN

Co-founder of LiveOak Venture Partners

RICHARD GORELICK

Former Head of Market Structure at DRW and a seed investor in Eventus Systems.
Founder and CEO of RGM Advisors

ROBB HUTCHINS

VP of Growth of Jump Capital

KIM TAYLOR

Retired from her role as President, Clearing and Post-Trade Services at CME Group in December 2017

TRAVIS SCHWAB

CEO of Eventus Systems

Thank You

Over 80% of prospects that take a custom demo
become Eventus clients. Schedule yours today:

info@eventus.com

