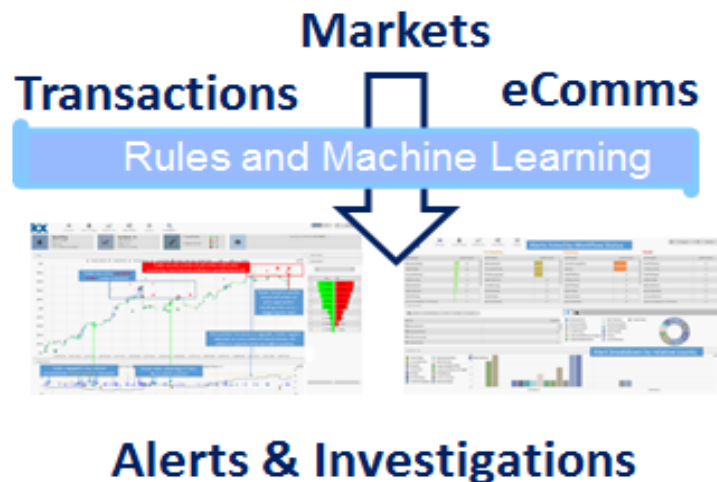


## Combining transactional and eComms data for holistic detection & investigation of trading violations and market abuse

### Business Problem

Our client sought a single, integrated solution that would support both transactional-focused surveillance for regulatory reporting and complementary eComms analytics on emails, chat, voice transcripts for identifying behavioural activity that either signalled or confirmed fraudulent trading intent.

The client sought a multi-asset, multi-market solution that would enable them to independently incorporate further machine learning capabilities and analytics as market conditions evolve..



### Kx Solution

Using Kx for Surveillance as the platform for all its data ingestion, trade monitoring and alerts management the client was able to:

- Interleave transactional data including trades, orders, quotes and market data, with trader communications including email, chat and call transcripts
- Correlate eComms behavioural data and meta data with transactional data for more informed and holistic investigations into suspected trader misconduct .
- Apply natural language processing to find, extract, and lemmatize specified data and raise alerts based on user-configurable rules sets and lexicons
- Consolidate disparate data sources on a common data platform providing analytics and machine learning capabilities

### Results



Unified Transactional and eComms surveillance..



.. enabling Improved detection and investigation..



..at lower TCO from single stack deployment