



it's about time

Kx Consolidated Surveillance

Detection and Investigation of Conduct Risk

A Data-Driven Approach

Moving from tick-the-box compliance to proactive identification of potentially bad actors requires a new mindset, and a new technology. It's no longer about individual systems and siloed reports, it's no longer about trading checks and audit trails.

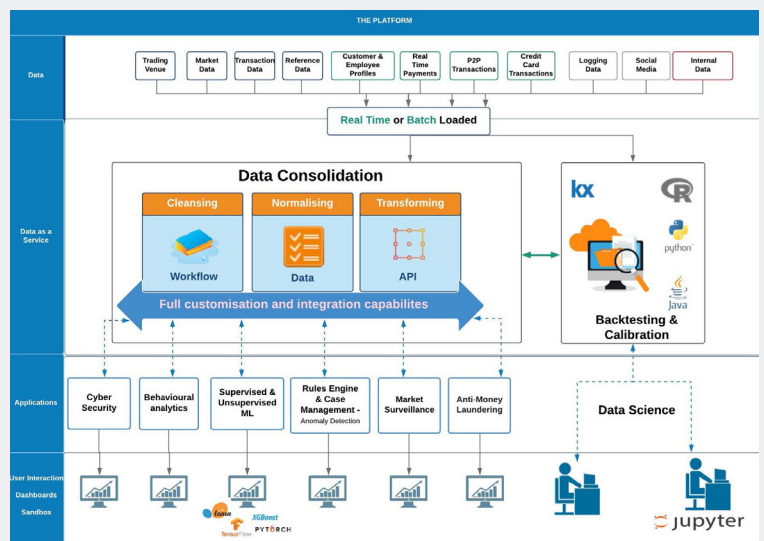
Detection and investigation are now about the communications, patterns, behaviors and interactions, both inside and outside the organization, that standalone alerts and static rules simply cannot catch. It's about indicators that are not evident in individual solutions but revealed only in the context of the entire trade lifecycle and communications around it. It's about data, consolidated data.

Traditional surveillance solutions, like many of the front office systems they seek to track, have typically been narrow in scope and siloed in the data they process. Limited analytics and data have resulted in meaningless alerts that flood investigation teams and impose enormous operational costs. Data Warehouses lack the analytics to derive insights across the full range of data from transactions to e-Comms.

Protecting your organization while increasing productivity



Consolidated Data
Comprehensive Surveillance



Kx's consolidated surveillance solution removes those barriers. Based on technology used by the vast majority of Tier 1 banks, the Kx platform captures the full range of data and provides the full range of analytics to achieve comprehensive, consolidated surveillance.

- Extensible data platform built to analyze events (with nano-second precision), patterns of information and behavior for high volumes both in real time and retrospectively
- Full price discovery and post-execution monitoring across all asset classes
- Over 60 out-of-the-box behavioral models (including all regulatory market abuse and insider trader models)
- Flexibility to configure the data model, workflows, scenarios and analytics to your unique business requirements
- Leverage open source machine learning libraries
- Significantly reduce false positives with dynamic thresholds, parameter calibration and extensive backtesting
- Simultaneously monitor controls, behavioural anomalies, and regulatory obligations by applying different lenses
- Dynamic platform – ACT on anomalies, record actions and extend contextual analysis through powerful workflow, document augmentation and big data analytic tools
- Flexible dashboards to support contextual analysis and investigation and increase productivity

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