



# Fintech surveillance across multinational exchanges

**Peter Clarke**  
Senior Financial Software  
Engineer, KX

“KX has been the solution of choice to manage trade and market data for 20+ years. Yet we continue to innovate with our customers on their digital transformation journey.”

Organization: **British  
Multinational Financial  
Services Company**  
Geography: **Global**  
Industry: **Financial Services**  
Employees: **87,000**

This British multinational banking and financial services company drives global trade, sustainable banking, wealth and prosperity. It operates a network of more than 1,200 branches and outlets across more than 70 countries and employs around 87,000 people. As a global financial partner, they contribute to combating market abuse and insider dealing through its Group Control Room (a specialist compliance function which provides guidance on information controls and acts as a central clearing house for transaction-related conflicts of interest). To identify and manage actual or potential conflict of interests, significant investments are made on the best technologies to comply and stay competitive.



**Ingests more than 130GB compressed data per day affecting 30+ source systems across the globe**



## BRITISH MULTINATIONAL FINANCIAL SERVICES

### THE CHALLENGE

As a multinational financial institution overseeing financial markets, they are responsible to combat market abuse and insider dealing. To maintain their standard of excellence, thorough evaluations are made to ensure compliance with Market Abuse and Dodd Frank regulations covering trade surveillance, control room, and private banking. Failure to do so would lead to significant financial penalties from their regulators and decreased user experience. This multinational financial services company needed a next-generation solution to manage the demands with the experience of managing market regulations.

### WHY KX

After a lengthy evaluation across 15 vendors, 3 vendors were short listed; KX, Nasdaq SMARTS and Oracle Mantas. KX proved its ability to ingest and process very large data volumes and the ability to implement rapidly to meet compliance deadlines. With KX's flexibility to scale and ability to customize the solution, it is a future proof platform against future market regulations. KX's real-time surveillance capabilities allow quality and compliant views into the company's impact in the market with reporting and effective alerting.

### THE BENEFITS

## ➤ 75+ global users in 5 different hubs



**Ingests and processes +130GB** compressed data per day



**Minimal infrastructure requirements** and complexity of solution



**Simplified, faster and enhanced efficiency** of data exchange across 30+ scenarios



**75+ global users** in 5 different hubs



Able to meet **Market Abuse and Dodd Frank** regulations