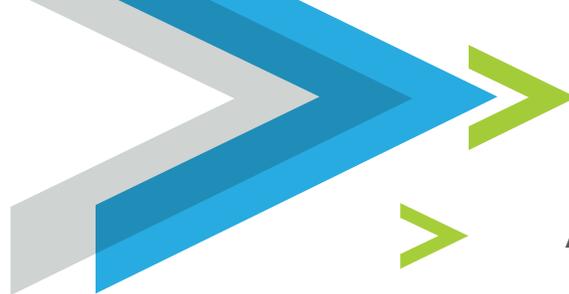


AI & Machine Learning Solutions

# BUSINESS ANALYTICS FOR TRADING COMPLIANCE (BATC)



## BUSINESS ANALYTICS FOR TRADING COMPLIANCE (BATC)

### About Alithya

Alithya is a leader in strategy and digital technology, with 2,000 professionals across Canada, the US, and Europe.

Our integrated offering positions us as a leading digital technology partner, highly skilled in designing innovative and efficient digital solutions for business challenges.

For over 25 years, our experts have advised, guided, and assisted Alithya clients in their pursuit of innovation and excellence.

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Toronto	Paris
Ottawa	Aix-en-Provence
Vancouver	Sophia Antipolis
Calgary	Toulouse

The Alithya **Business Analytics for Trading Compliance (BATC)** Solution is an automated trade surveillance system that covers cross-asset surveillance as well as trading in equities, fixed income, derivatives, and foreign exchange. Artificial Intelligence and Machine Learning are core to BATC, enabling a significant reduction in false positive alerts normally associated with traditional compliance systems.

### KEY BATC BENEFITS

- > Focuses compliance teams via automation
- > Automatically adapts to input from compliance officers
- > Generates reproducible alerts that can be audited by regulators
- > Customized to each organization's business/processes

**Proven Results:** Reduced false positive alerts by over 90% when implemented in the global trading business of a major Canadian financial institution for Foreign Exchange and Fixed Income surveillance.

### BATC CORE FEATURES

- > Sophisticated compliance algorithms to generate focused alerts
  - Rules cover all asset classes (equities, fixed income, derivatives, and foreign exchange) as well as cross-asset
  - Designed to provide comprehensive coverage for major global conduct regulations (e.g. FX Global Code, UMIR, MAR)
  - Auditable logic incorporates attributes of regulatory enforcement actions by major regulators (e.g. IIROC, CFTC, SEC, FCA)
- > Alert Classifier which uses Supervised Machine Learning to focus compliance officer's effort on the most suspicious activity
  - Classifies alerts by their suspiciousness allowing them to be prioritized and filtered as required
  - Automatically generates predictive models based on inputs from your organization's compliance officers
  - Models can be automatically rebuilt at any time using new data to adapt to changes in trading or compliance
- > Case Management and User Interface to facilitate compliance review and analysis
- > Comprehensive implementation service to maximize the system's value for your organization

The framework is scalable and robust, capable of supporting the large data volumes typically generated by algorithmic trading and HFT traffic. The solution can be deployed either on premise or in the cloud via Microsoft Azure.

### OUR FINANCIAL FOCUS

The BATC solution leverages the best practices Alithya has established through the successful delivery of many enterprise-grade analytic solutions for the financial industry. Alithya has a long history of delivering high quality, innovative solutions to sell-side customers based on our deep understanding and application of best practices, tools, and technologies.

