

# Business Analytics for Trading Compliance

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
- > Customized to each organization's business/processes and automatically adapts to input from compliance officers
- > Generates reproducible alerts that can be audited by regulators

**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 which cover all asset classes as well as cross-asset surveillance
  - > Auditable rule logic covers all major global conduct regulations (e.g. FX Global Code, UMIR, MAR) while also incorporating attributes of regulatory enforcement actions
- > Alert Classifier uses Supervised Machine Learning to focus compliance effort on the most suspicious activity
  - > Automatically generates predictive models from compliance officer input to prioritize alerts by their level of suspiciousness
- > Case Management and User Interface to facilitate compliance review and analysis

## Our Financial Focus

We care about your bottom line and believe that your success is critical to ours. In today's capital markets and wealth management industries there are many complex challenges that require innovative and integrated solutions. We have a long history of delivering innovative, leading sell-side and buy-side solutions based on our deep understanding and application of best practices, tools, and technologies.

For more information see press release *"Alithya Group goes live with Machine Learning Solution at CIBC Capital Markets"*.



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