Delivering Value and Innovation to the Reforming Treasury Global Markets Ecosystems

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MUREX   mongoDB.

Trade Surveillance

Treasury trade surveillance system using AI/ML

A Fintech Software development solution

The Challenge

Financial enterprises are in the process of implementing a surveillance system that monitors and detects all trade risk scenarios, generates alerts, notifies Surveillance team and automates analysis and assessment.

Such sort of surveillance system must help prevent and investigate manipulative, abusive, or illegal trading practices in the securities markets. And, it must address the below challenges to avoid opportunity loss or operational risk of the banks.
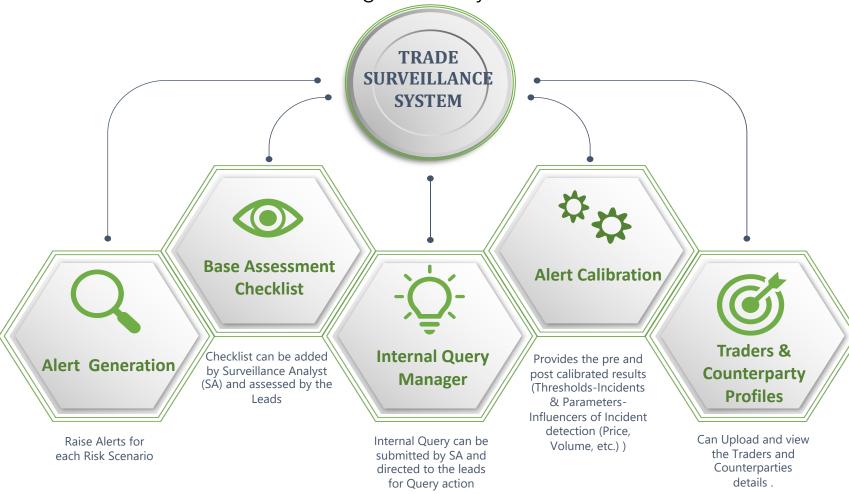
High Price and Operational Risk

Complex Data & Manual Process

Single Compliance Platform

Alert Generation and Alert Assessment

Decisioning

CHALLENGES

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The Solution: Trade Surveillance

FinSurge's Trade Surveillance application contains easy to use configuration tools to automate the Treasury Trade Surveillance processes. It generates alerts for based on the pre-conditioned risk scenarios proactively so as to enable compliance users to work more efficiently. It monitors all risks based on the scenarios, manages the case workflow and resolves all the challenges faced by the banks.

- It tightens the internal controls within the bank so the perpetrators, money launderers, and sanctions evaders can not penetrate the financial system, either through the bank, national, or international system.

- It identifies all risk patterns with the simplified variable generation process and traditional AI/ML techniques, and provides instant in-built solutions.

TRADE SURVEILLANCE SYSTEM

Alert Generation

Raise Alerts for each Risk Scenario

Base Assessment Checklist

Checklist can be added by Surveillance Analyst (SA) and assessed by the Leads

Internal Query Manager

Internal Query can be submitted by SA and directed to the leads for Query action

Alert Calibration

Provides the pre and post calibrated results (Thresholds-Incidents & Parameters-Influencers of Incident detection (Price, Volume, etc.))

Traders & Counterparty Profiles

Can Upload and view the Traders and Counterparties details .

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Key Functions

Consistent monitoring and Automatic Generation of Alerts using AI/ML

Single platform for various trade compliance & surveillance-related governance

Instant Alert generations and Notifications to Surveillance team and Inbuilt workflow Dashboards

Decision engine for Alert Assessment and Query Action

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Why FinSurge Trade Surveillance?

- Robust and Automatic Surveillance of trades.
- Generate Instant Alerts.
- Timely Effective in assessing alerts.
- Identification of bad actors.
- Accurate Alert Assessment.
- Improve the control over revenue streams and operational risk.
- Flexible and Simple to configure dashboards.
- Data Engineering and Decision Engine &Support.

A Fintech Software development solution