



TREND SHEET

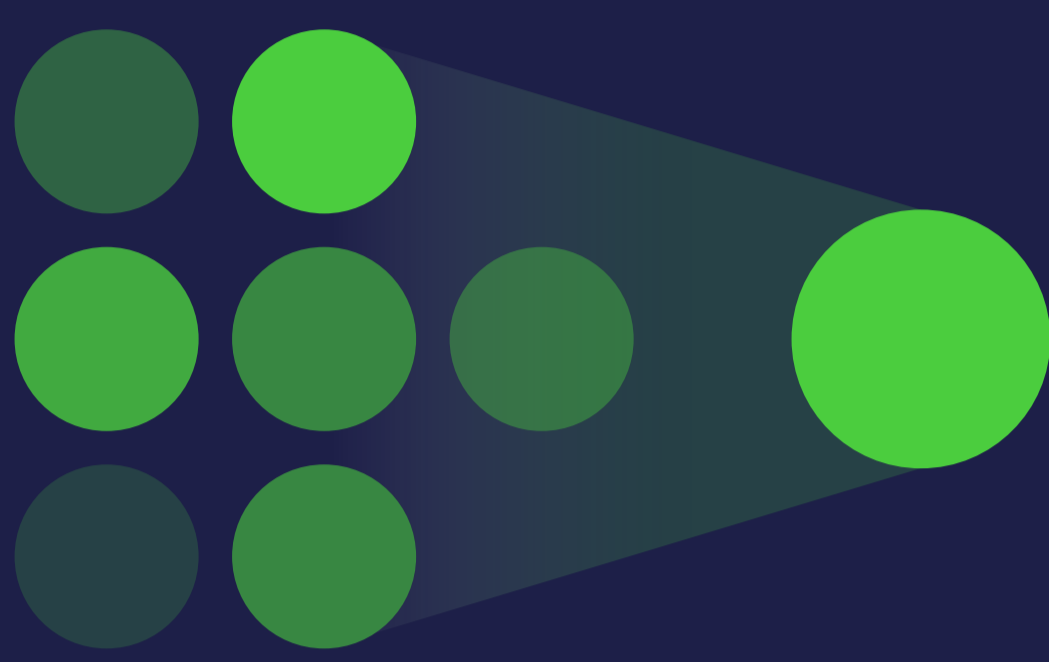
The evolving demands of modern trade compliance

Unlock a proactive approach with smart technology

Trade compliance is becoming more nuanced and more critical by the day. With rising trade volumes, new global regulations and evolving supervisory expectations, firms are under pressure to shift from reactive processes to intelligent, proactive oversight. A modern approach to compliance calls for better models, greater transparency and smarter use of technology to allow capital to work as hard as possible.

Five trends to watch:

1. Risk-based modeling is on the rise



The industry is moving away from binary, rules-based surveillance models toward a more dynamic, risk-based approach. Rather than simply flagging whether a trade meets or violates a static rule, firms are assessing degrees of risk – evaluating trader behavior in context and surfacing patterns that indicate concern. This shift allows compliance teams to prioritize investigations and focus resources where they matter most.

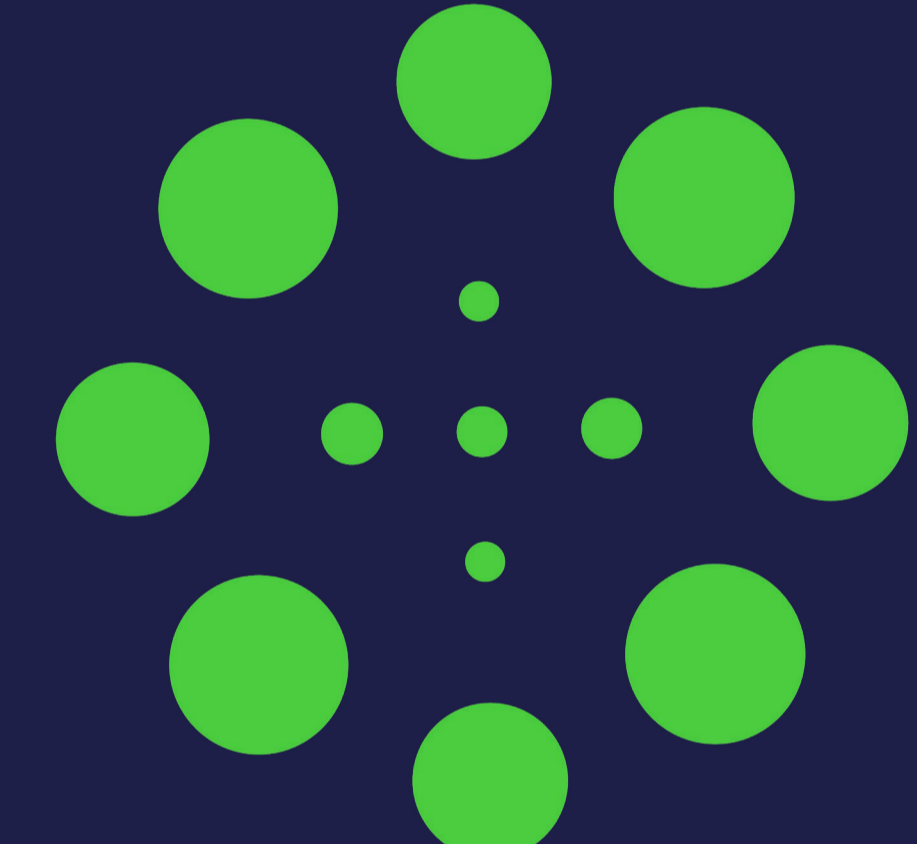
2. AI is moving from innovation to expectation

Firms are moving beyond static rules and thresholds and rapidly adopting AI to improve detection and reduce false positives. At the same time, regulators are beginning to expect firms to use available AI tools to support compliance efforts. From analyzing large datasets to identifying outliers and learning from past behaviors, AI is changing how teams surveil trading activity and make decisions.



3. Vendor consolidation is reshaping compliance

Compliance teams are increasingly moving to a single-vendor model as they seek to consolidate disparate surveillance and reporting systems under one provider. This shift streamlines processes, reduces operational silos and creates a single point of contact for all compliance needs. By unifying technology and oversight, firms can drive efficiency while strengthening their ability to uphold market integrity, enabling resources to work smarter and capital to flow smoothly.



4. Need for completeness is growing

It's no longer enough for compliance teams to spot potential violations in isolation – regulators expect complete oversight of all trading activity. That means ensuring every trade is surveilled, alerts are captured across systems, and reporting is comprehensive and defensible. By prioritizing coverage and accuracy, firms can meet growing expectations for transparency and accountability.



5. Around-the-clock, across-the-globe monitoring

Trading manipulation increasingly spans markets, asset classes and geographies. To keep pace, firms are unifying surveillance across equities, fixed income, commodities, FX and derivatives – breaking down compliance silos. At the same time, compliance is shifting toward 24/7, real-time monitoring, giving organizations a holistic view of trading behavior and stronger tools to safeguard market integrity.



Your next step

Unlock smarter, more adaptive compliance by aligning your tools, data and processes with the demands of today's trading environment. By rethinking surveillance models, embracing precision and removing system complexity, firms can respond to risk more quickly, improve transparency and stay ahead of regulatory expectations – putting compliance at the center of confident, forward-looking growth.

Unlock more

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