

# Create a data line-of-sight to prevent financial crime and reduce headline risk



## Why didn't we see that coming?

Financial services organizations have always been rich in data and heavily regulated. But despite large investments in software, people, and processes for risk and surveillance operations – including those to comply with regulations – bad things still happen. And those things often end up as headlines in the news with billions of dollars in fines. Consider the consequences of rogue risk-takers within a firm, or coordinated trading to manipulate rates, or financial fraud due to misrepresentation of high-risk investments. In the aftermath, management at every firm always asks the same question, “*Why didn't we see that coming?*”

The answer is that the firm's risk and surveillance operations lacked a “line-of-sight” into disparate data sources to recognize issues and make adjustments before they became larger problems. To gain this line-of-sight you need to run your risk, compliance, and fraud-detection

applications on a unified, global data set. But it's a challenge to achieve when the data changes frequently, is in silos, in disparate forms, or too complex.

You can respond to this challenge with InterSystems technology.

## I'm glad we saw that coming

Having a data line-of-sight requires the ability to capture, share, understand, and act on all of your firm's data, across business lines and technology silos. This is the vision behind InterSystems' advanced database and integration platform. It connects to your systems to access, organize, and store your critical data while keeping it up-to-date, regardless of form or location.

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It provides your current risk and crime detection applications with a variety of methods to access the data, without having to know anything about the original form. Your applications will have a clear line of sight into this comprehensive, global data set while the original data stays in its required locations within the firm.

Risk managers will be able to see intraday positions and valuations for measuring risk and liquidity across all your different instruments and regions. Compliance officers can have visibility into communications from sales and trading areas and related trading data. With risk and crime detection applications having access to all relevant data, they can deliver timely alerts concerning coordinated trading, sanctions violations, money laundering, and other anomalies. Compliance officers no longer will have to manually piece together related information from multiple systems.

To help you keep pace with the rapid rate of change in financial services, InterSystems' advanced database and integration platform also provides rapid development technology. With it you can create new applications and deliver continuous incremental value from existing data and systems. These features, along with automated alerts to the right people at the right time, enable a strategic, organization-wide approach to regulatory compliance and crime prevention.

### **The future is clear**

The treadmill of keeping up with regulations, preventing financial crime, and responding to investigations is hindering growth and innovation in financial services. Our advanced database and integration platform breaks this cycle. When regulations change or new ones are issued, you'll be ready to respond quickly, without draining resources from work on the innovative applications your firm needs to stay ahead of the competition.

### **Learn more**

Contact us at 617-621-0600 or visit [InterSystems.com/financial](http://InterSystems.com/financial) to learn more about our advanced data platform and how we can help you create the data line-of-sight that you need.

### **About InterSystems**

InterSystems is recognized by Gartner as a leader in operational databases\*, and continues to build on a solid track record of software technology innovation. InterSystems' high-performance and highly reliable database and integration technology is used by organizations as diverse as the European Space Agency, in its GAIA mission to map a billion stars in the Milky Way galaxy, a global financial services firm to process 13% of the world's equity trades, and software vendors requiring a stable platform for development and long-term growth. Several of our software vendor customers have grown from startup to billion dollar companies with our technology.

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\*Magic Quadrant for Operational DBMS, Donald Feinberg, Merv Adrian, Nick Heudecker, October 16, 2014 ID: G00261660

