

15th ANNUAL AFM CONFERENCE

Pre-Conference Workshop on March 7: Regulations and Surveillance

Session 1: Surveillance Tools



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Surveillance Systems

There are a number of suppliers offering Surveillance systems either as a standard package or as a 'smart' tool-kit to enable clients to build their own

The underlying common factors of these systems are:

- Alerts

- Market Replay

- Case Book Management

This morning we will explore these areas and how available systems address them.

Surveillance Tools

What tools are available from the technology providers to:

- transform the deluge of trading data into useful information;
- tools to link exchange-owned information to other intelligence sources;
- would graphical representation of data be helpful to conduct investigation?

Surveillance Challenges

1. How important is Real-Time Market Surveillance in the Futures Markets? Are the investments for setting up Real-Time monitoring justified?
2. Rules based v/s Principles based surveillance
3. Cross Market/ Cross Border Surveillance and its significance
4. Should the Brokers and Traders do more in the surveillance space and should they be held accountable for their clients' trading activities?

Panel

- Moderator:

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Thank you



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