



# Know Your Transactions (KYT)

## Manage compliance across transactions in the firm's financial products

The financial and reputational fallout from issues that can arise from rogue behaviors involving a firm's financial products, transactions and client information can significantly impact company reputation and the bottom line.

Mitigating this risk effectively requires verification and validation of all financial transactions across internal activities and external transactions, along with leveraging data across multiple areas of the firm.

MCO's Know Your Transactions (KYT) solution suite enables firms to monitor and action risks that can originate from any type of financial activity in their organization, assessing transactions in their financial products including trades and holdings, investment banking transactions, payments, ongoing banking transactions or from inside information received by employees.

KYT enables firms to:

- Monitor firm and client trading
- Track deals and the potential conflicts these pose to the firm
- Identify inside information and Material Non-Public Information (MNPI), track who has access to it and monitor the activity of those who possess it
- Ensure that all products offered to clients meet with your suitability guidelines
- Screen and monitor all relevant banking transactions
- Ensure compliance with KYC and AML regulations

# Automate the Monitoring of Investment Transactions

## Trade and Holding Surveillance

### *Trade Surveillance*

Monitor firm, client and employee investment activities and identify potential conflicts of interest and policy violations. Integrate your trading data with MCO's flexible rules engine and integrated market data to identify potential market abuse or insider trading violations.

### *Customer Suitability*

Automate your customer suitability policies and ensure that your client trading meets with their individual suitability profiles. Get proactive alerts on trades or client portfolios that do not match the client's profile, risk tolerance and investment goals.

## Management of Deal-Related Conflicts for the Control Room

### *Deal and Engagement Review*

Surveil investment banking and private transaction deals across each stage of the deal lifecycle. Review investment deals, evaluate potential conflicts, identify inside information, define associated restrictions, communicate with the deal team, wall cross internal and external associates, and capture an audit trail for regulatory and reporting needs.

### *MNPI and Insider Information*

Identify and track when inside information was received, the subject of the inside information and who both internally and externally has access to the information. Produce insider list reports on demand as required by the regulator. Associate the subject of the inside information event directly with your restricted and watch list so that activity can be restricted. Furthermore, by integrating with other MCO modules, MCO can detect the misuse and abuse of sensitive information by insiders.



# Automate the Monitoring of Investment Transactions

## Money Movement (AML)

### *Money Movements Screening*

Ensure that payments and other transactions are within the AML policy defined by your institution. Validate payment against external data sources to identify potential issues with blacklists, sanctioned entities, PEPs, or restricted jurisdictions. Alert teams to issues effectively and efficiently to allow a decision to be made. Pre-populate regulatory filings such as Suspicious Activity Reports (SAR) and Currency Transaction Reports (CTR) to ensure compliance.

### *Suspicious Activity Monitor*

Ensure that payments and other transactions are within the AML policy defined by your institution. Validate payment against external data sources to identify potential issues with blacklists, sanctioned entities, PEPs, or restricted jurisdictions. Alert teams to issues effectively and efficiently to allow a decision to be made. Pre-populate regulatory filings such as Suspicious Activity Reports (SAR) and Currency Transaction Reports (CTR) to ensure compliance.

### *Instant Payment Screening*

Screen transactions in real time before they are sent to payees via applications including Revolut and Venmo or for SEPA payments. Verify transactions against blacklists, transactions limits, prohibited payee countries and other screening criteria and flag transactions for user verification before release.



# Core System Functionality

KYT enables firms to meet their regulatory responsibilities and their portfolio's investment objectives, protect themselves from insider trading, and ensure the suitability and appropriateness of trading activity and banking transactions. All KYT modules leverage the powerful capabilities of the MyComplianceOffice platform.

- Standard rule sets and a flexible rules engine that can be used out-of-the-box or customized to meet unique firm needs
- Dashboards, alert notifications, case management and easy-to-configure workflows
- Data feeds
- Ability to capture a complete compliance review for auditing purposes and reporting in a single, centralized platform

With Know Your Transactions, firms can address restricted trading, market manipulation, insider trading, customer suitability, fund mandate, anti-money laundering and other conflict scenarios on a single, integrated platform. All KYT modules enable firms to significantly improve the process efficiency of trading operations, clear conflicts of interest, meet compliance regulations and provide evidence to regulators of the firm's culture of compliance.

## Integrated Compliance Management

Know Your Transactions is part of the MyComplianceOffice integrated platform that automates compliance programs for supply chain and third-party operations (Know Your Third Party), employee compliance (Know Your Employee) and compliance oversight (Know Your Obligations). These interconnected suites with a centralized data center cost-effectively and comprehensively minimize the risk of misconduct and conflicts of interest while providing evidence of regulatory compliance.

With offices and support across the United States, Europe and Asia-Pacific, MCO helps firms of all sizes ensure compliance and meet evolving regulatory efficiently and effectively. Contact us today to learn more.



EUROPE'S  
LONG-TERM GROWTH  
CHAMPIONS 2025



**Contact MCO today** to find out how we can help your organization meet evolving regulatory needs and ensure compliance oversight quickly and affordably.

**MyComplianceOffice (MCO) provides compliance management software that enables companies around the world to reduce their risk of misconduct and effectively oversee regulatory obligations.**

Our powerful platform lets compliance professionals demonstrate they are proactively managing the regulated activities of the company, employees and third-party vendors and provide evidence of regulatory compliance. Available as a unified suite or à la carte, our easy-to-use and extensible SaaS-based solutions get firms up and running quickly and cost-efficiently.