CX-EX

CXEX for Financial Services Organisations

Introduction

Overview

CXEX delivers AI-driven voice analytics and conversational intelligence tailored for regulated financial services firms — including retail and investment banks, wealth managers, broker-dealers and trading desks. It combines high-accuracy transcription, configurable rule engines and supervised machine learning models to detect compliance issues, surface business risk, and deliver operational insights that improve agent performance and customer outcomes while reducing regulatory exposure.

Why this matters in financial services

Regulated firms must continuously monitor and evidence that required disclosures, client consent, transaction confirmations and supervision activities have occurred. Failure to detect and remediate breaches quickly can lead to heavy fines, litigation and reputational damage. CXEX moves firms from reactive, sample-based QA to proactive, scalable surveillance — catching issues at scale and providing clear evidence for audits and investigations.

Practical Use Cases

Disclosure & suitability monitoring: Automatically verify that regulated advisors read required disclosures and recorded suitability statements; surface missing or incomplete disclosures for remedial action.

Trade surveillance & unwinding calls: Detect and tag calls that reference material non-public information, trade intent, or price-sensitive discussions for immediate review by surveillance teams.

Transaction confirmation & audit: Correlate call content with trade/ticket IDs to produce end-to-end audit trails for regulators and internal audit.

Complaints & eDiscovery acceleration: Rapidly locate all calls mentioning a client, product or event, deliver chronological evidence bundles and reduce discovery cycle times.

Conduct & culture measurement: Aggregate sentiment and topic trends across teams to monitor cultural risk (e.g., pressure selling, short-cutting disclosures) and drive training programmes.

COTU

https://cotu.uk

partners@cotu.uk

0330 124 9595