

# TRADE SURVEILLANCE

**Financial Markets Compliance Solutions**

**NICE** · ACTIMIZE

# COMPREHENSIVE COMPLIANCE COVERAGE ACROSS ASSET CLASSES, MARKETS & GLOBAL REGULATIONS

## CONSTANTLY CHANGING LANDSCAPE REQUIRES CONTINUOUS EVOLUTION

In a complex trading environment and an evolving regulatory landscape, trade surveillance risk controls must remain current, flexible, and synchronized with industry best practices. Firms require a modern, holistic approach to trade surveillance, with broad functional and regulatory coverage and the flexibility to meet the demands of today's complex business environment.

## ACTIMIZE TRADE SURVEILLANCE SOLUTIONS

Actimize solutions allow firms to effectively and proactively meet global regulatory requirements by providing comprehensive risk controls to detect anomalous and non-compliant activities. Actimize's breadth of offerings enable firms to identify market manipulation, market abuse, fraud, business conduct standards violations, conflicts of interest, and behavioral patterning, while satisfying unique surveillance needs, budget constraints, and implementation timelines.

### ASSET CLASS

- Equities
- Fixed Income
- FX
- Futures & Options
- Energy
- Swaps
- OTC Derivatives

### GLOBAL COVERAGE



### REGULATIONS

- Market Abuse
- Fair Dealings
- ESMA for HFT Surveillance
- Dodd-Frank Swaps Surveillance
- Benchmark Monitoring

Holistic compliance risk management solution with cross-asset class, cross-market surveillance functionality

## GAIN BEST-IN-CLASS COVERAGE

Implement a comprehensive trade surveillance solution with the ability to combine sophisticated analytics and algorithms for cross-asset class and cross-market trade surveillance with communications surveillance and end-to-end case management.

## IMPROVE PRODUCTIVITY, REDUCE COSTS

Focus analysts and supervisors on the highest risk activities with intuitive alerts and interactive graphical displays reducing time spent accessing multiple systems and the cost of maintaining redundant data warehouses.

## LEVERAGE MARKET LEADERSHIP & EXPERTISE

Benefit from the collective knowledge of subject matter experts, including former chief compliance officers and traders, advanced surveillance analytics perfected over a decade, and the analyst and client-recognized global market leader in compliance technology.

# HOLISTIC SOLUTIONS FOR COMPLETE TRADE SURVEILLANCE

## Industry-leading detection algorithms

Mitigate compliance risk, reduce workload and personnel costs, and provide deeper analysis and investigation of potentially non-compliant activities with comprehensive, out-of-the-box trade surveillance algorithms tuned for low false positives and deployed by the industry's leading global financial firms.

## Modern & intuitive user interface

Increase productivity and insight through graphical and interactive display of market activity overlaid with firm transactions, alerts, and market news, providing analysts with complete information in a single solution and eliminating the need to access multiple information sources.

## Centralized case management & oversight

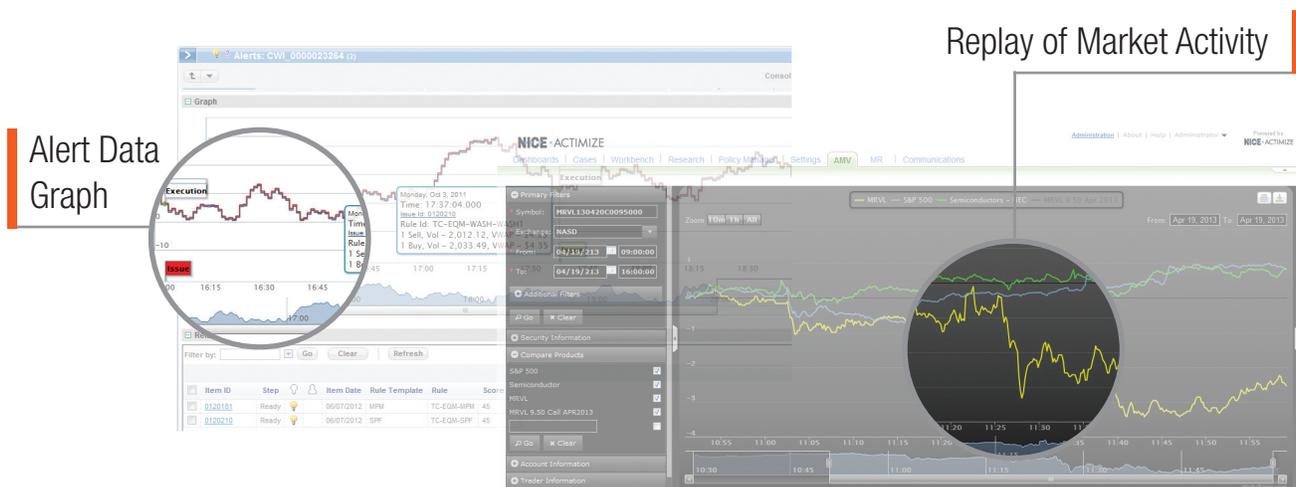
Ensure investigations are effectively resolved according to compliance protocols with a fully integrated case management platform that includes predefined workflows, delegation of responsibilities, efficient alert management, and audit tracking, as well as comprehensive reporting and dashboard capabilities to quickly assess overall trade surveillance program effectiveness.

## Scalable, enterprise platform

Easily configure surveillance solution appearance, operation, and accuracy, author new rules, update configurations, customize detection logic and alert layouts, and define threshold and scoring factors, with an enhanced framework and improved infrastructure to support the requirements of evolving regulations.

## Flexible deployment options for business agility

Address ever-changing regulatory and business needs and respond to urgent surveillance requirements with a quick deployment of a fully-managed hosted service, a flexible and customize on-premise solution, or a hybrid approach.



Intuitive, graphical representation of data helps identify key issues

**Actimize Trade Surveillance solutions allow firms to **efficiently manage and monitor trading activities** for market manipulation, fraud, behavioral patterning, and more.**

- Adhere to global regulatory requirements
- Gain cross-asset, cross-market coverage
- Improve accuracy and productivity

## WHY NICE ACTIMIZE

- Hundreds of proven models for end-to-end surveillance, supervision, and compliance risk management
- Comprehensive coverage across geographies, asset classes, and markets
- Backed by 100+ years of staff expertise around the world, including former regulators and compliance officers
- Used by 10 of the top 10 global investment banks as well as industry regulators

## ABOUT NICE ACTIMIZE

NICE Actimize is the largest and broadest provider of financial crime, risk and compliance solutions for regional and global financial institutions, as well as government regulators. Consistently ranked as number one in the space, NICE Actimize experts apply innovative technology to protect institutions and safeguard consumers and investors assets by identifying financial crime, preventing fraud and providing regulatory compliance. The company provides real-time, cross-channel fraud prevention, anti-money laundering detection, and trading surveillance solutions that address such concerns as payment fraud, cybercrime, sanctions monitoring, market abuse, customer due diligence and insider trading.

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