# NICE · ACTIMIZE

## Why NICE Actimize

Safeguarding the financial industry by preventing, detecting, and investigating financial crimes

### Focus

Focus exclusively on financial crime and compliance

### Complete

Complete and packaged suite of AML solutions to address the entire customer life cycle

### Experience

Over 450 implementations, helping you get it right the first time

### Single View

Single view of customer risk allows you to manage your risk and grow your business

## 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.

# Notifications & Attestations Solution

## Case Management Solutions

# Staying Ahead:
# Regulations and Policies

Driven by a perceived lack of oversight within compliance teams, regulators are working hard to ensure that compliance professionals are up-to-date on every regulation, internal policy and procedure, and operational update. In the United States, FinCen is levying personal fines against non-compliant individuals while in the UK, the FCA is increasingly asking for attestations from compliance and risk officers. The result of this increased scrutiny creates significant operational challenges - keeping their teams up to date on regulations is becoming one of the more time-consuming activities for compliance officers. This is amplified further because many lack a defined approach and an ability to see who has viewed and signed off of any new or amended rule.

Lacking a defined approach increases risk and fosters inefficient and uninformed teams. Coupled with a lack of a central repository of policies and regulations, compliance teams:

- Lack the ability to quickly notify staff of changes or track attestations
- Face breakdowns in policies and procedures which may cause enforcement actions
- Rely on disparate sources to find key information and conduct investigations
- See increased time of investigation cycles and overall risk levels
- Leave themselves susceptible to risk, including personal liability
- Lack the ability to quickly notify staff of changes or track

## Gaining Alignment and Protecting Your Organization

Compliance officers can easily and efficiently notify their teams of ever-changing regulations and protect their organization from regulatory and non-compliance risk. Doing this requires they have the ability to:

- Notify compliance staff and others within the organization about new regulations, updates and internal policies and procedures
- Provide staff with an easy way to review and sign off on the policies
- Monitor and report staff review and adherence
- Access a repository of policies and regulations during investigations

# NICE Actimize Notifications & Attestations Solution

Operate more efficiently while maintaining compliance, mitigating financial crime risk, and protecting your organization's reputation and your personal liability



The NICE Actimize Notifications & Attestations solution is available as an add-on to any Actimize solution, enabling organizations and compliance officers to manage risk intelligently

Actimize puts organizations at ease, knowing that they are managing policies and regulations efficiently and correctly.

- Managers can create and distribute notices to select employees regarding any regulation or internal policy
- Packaged workflows guide employees that receive a notice to review and sign-off, attesting that they have read and understand the rule
- All notices are accessible in an easy-to-find location for reference during the course of an investigation. In addition, notification dashboards enable supervisors to monitor the life cycle of the notification from distribution to attestation

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