

ELEVATING CONDUCT SURVEILLANCE

A Masterclass in Surveillance

Changing regulator expectations mean financial services organizations must evolve their approach to surveillance and conduct.

Culture is key.

Advancements in regtech can enhance or automate surveillance of front line sales activities to monitor:



Trade practices



Sales behavior



Client communication

Addressing Siloes with a Top Down Approach

To be successful, a surveillance program must be scalable.

This includes:

- Front office staff training
- Well-documented policies to meet regulatory expectations
- Control function to identify incidents
- Coaching of organization on grey areas
- Centralized data management framework

“Regulators expect a robust control regime that is tested before the problem starts.”

-Paul Cottee
NICE Actimize
Compliance Subject
Matter Expert

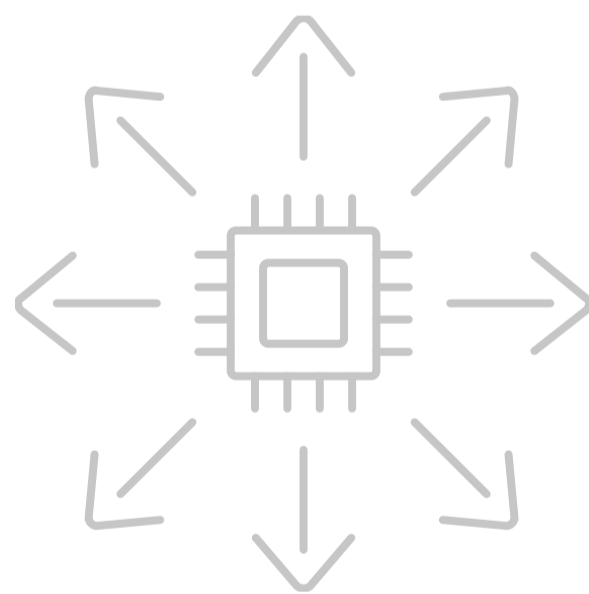
Addressing Digital Technologies

Tools like Zoom and Microsoft Teams for video conferencing are now part of everyday life.

Organizations must ensure proper compliance while providing access to these tools.

Maintain a productive approach, especially when it comes to recording or monitoring.

AI and machine learning can provide extraordinary value – but don’t rule out the benefits of human input.



Regulators still require explainability.

Surveillance and controls don’t have to be a cost center, but rather an investment to prevent future misconduct.

Surveillance should evolve with your business, and balance is key.

Finding the right partner and solution for your region to meet the unique needs of your customers, as well as local regulations, is imperative.

See how NICE Actimize can help with the SURVEIL-X Holistic Conduct Surveillance Suite.

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