

**NICE · ACTIMIZE**



# **HOLISTIC SURVEILLANCE**

**E-BOOK**

# COMPLIANCE OFFICERS FACE AN UPHILL CLIMB



**TODAY'S MARKET LANDSCAPE REQUIRES A VIEW ACROSS  
ASSETS, INSTRUMENTS, COMMUNICATIONS, MARKETS,  
AND REGULATORY JURISDICTIONS**

# CHALLENGING MARKET ENVIRONMENT

Effective Risk Controls

Higher Fines

Regulatory Reach

Market Surveillance

Global Changing Regulations

# DATA IS OVERWHELMING

Enterprise Silos

Comms



**BUSINESS CHALLENGES COMPETE FOR ATTENTION**

# NEW RECORD KEEPING REQUIREMENTS

New Regulations

Timely Responses

Detailed Trade Reconstruction

# A HOLISTIC VIEW OF RISK ALLOWS COMPLIANCE OFFICERS TO:



## REVOLUTIONIZE SURVEILLANCE

with a near real-time view across all trades and communications

## DISCOVER INSIGHT

through identification of hidden risks or behavior trends of interest.

## TRANSFORM RISK CONTROL

with evidence of effective risk controls and best practices

# NICE ACTIMIZE HOLISTIC SURVEILLANCE



**A HOLISTIC VIEW OF RISK  
IN ONE SOLUTION**

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**INDUSTRY-LEADING  
ADVANCED ANALYTICS**








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**ROBUST ALERT & RISK  
CASE MANAGEMENT**



# HOLISTIC SURVEILLANCE. COMPLETE COMPLIANCE



-  Integrated market and communications surveillance
-  Complete coverage across products, markets, and venues
-  Combined supervision and investigation processes
-  Remove silos and improve overall processes
-  Prescriptive clarity on abusive and manipulative behavior
-  Comprehensive trade reconstruction
-  Surveillance that learns calibrates and evolves

# THE ACTIMIZE VISION FOR A HOLISTIC APPROACH

**AGGREGATE**

Transactional, market,  
and communications data



**ANALYZE**

Integrated data with industry  
leading, out-of-the-box  
detection models



**ACT**

On insight from full trade  
reconstructions, market visualization,  
workflow, and investigative tools

Aggregate

Analyze

Act

## BIG DATA



Order Execution



Market



Comm's



Cross-enterprise



External

## OUT-OF-THE-BOX SOLUTIONS

Risk and Regulatory Driven

## INTEGRATED MARKET AND COMMUNICATIONS ALGORITHMS

Intent, Actions, Network, Risk, Behavior

## INSIGHT MANAGEMENT



Market  
Visualization



Full Trade  
Reconstruction



Management  
Dashboards



Workflow and  
Investigations

**RISK MANAGED, REPUTATION UPHELD**

A network diagram with grey nodes and lines on a black background, partially obscured by the text.

**NICE ACTIMIZE HOLISTIC SURVEILLANCE EXPOSES**

# **THE TRUE INTENT BEHIND MARKET EVENTS.**

**Integrated trade and communications surveillance enables firms to take a **proactive, preventative approach** to compliance, managing risk, maintaining integrity in the market, and protecting the firm's reputation.**



# 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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