



ActimizeWatch Compliance

Always on Watch

ActimizeWatch Compliance

In the world of financial services, change can be fast-paced and unrelenting. Regulatory requirements, communication and transaction patterns, even your firm's asset classes, services and business scope may expand over time. And regulated employees are always finding new ways to avert detection. If your surveillance detection models aren't keeping pace with these changes you could be risking your firm's bottom line and reputation.

To stay a step ahead, you need to be on the constant lookout for new risks, and leverage advances in technology to continuously fine-tune and improve your surveillance detection capabilities and compliance programs.

But making continuous adjustments to detection models can tax inhouse resources and add cost and complexity. Fortunately, there is a better way.



**DON'T COMPROMISE
ON SURVEILLANCE**

Regulatory
Requirements

Communication
& Transaction
Patterns

Asset Classes,
Services &
People



— Never Let Your Guard Down —

End-to-end Managed Analytics Service

ActimizeWatch Compliance is a unique end-to-end managed analytics service designed to improve your firm's agility, detection accuracy and overall compliance effectiveness. **ActimizeWatch Compliance's** two-prong approach will help your firm continuously fine-tune its detection capabilities, and navigate an ever-changing landscape of risks, without straining your resources.

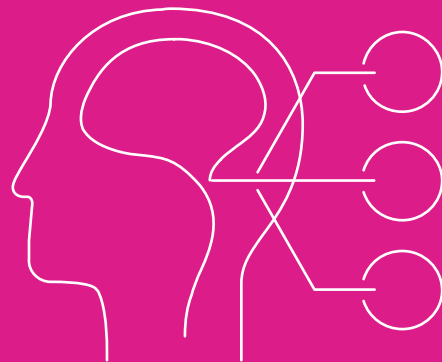
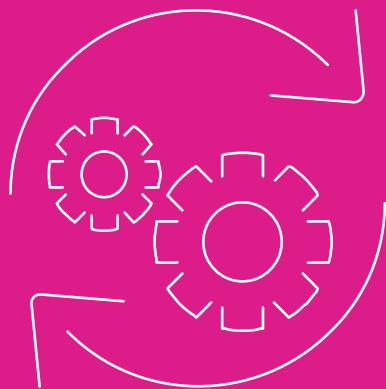
With **ActimizeWatch Compliance**, you get the best of both worlds:

- 1) Advanced analytics,
- 2) Unparalleled expertise.

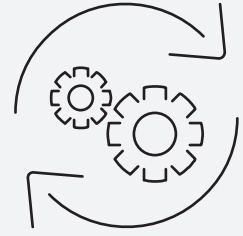
Our Model Optimization Services help your firm get out in front of changing conditions, while our Behavioral Anomaly Detection uncovers hidden insights and risks.

■ Model Optimization
Services

■ Behavioral Anomaly
Detection



Model Optimization Services



Our Model Optimization Services team is the perfect complement to your in-house resources. Consisting of data scientists, linguistics experts, and compliance subject matter experts (former traders, compliance officers and legal professionals), our Model Optimization Services team has decades of experience in regulatory compliance, cloud computing, speech analytics, machine learning, and predictive and language modeling.

With **ActimizeWatch's** Model Optimization Services your firm is assured of the most up-to-date and accurate detection models, without the hassle and added work. Model optimizations that previously took months or years to develop can now be implemented in days or weeks.

How It Works

On a periodic basis, our team of experts will conduct a thorough analysis of your data and assess how well your detection models are performing, meet with you to review the findings, update and fine-tune models as needed, and implement those new models in your environment (either on premise or in the cloud). This one-of-a-kind service is offered as an overlay to NICE Actimize's market-leading **Communications Surveillance**, **Markets Surveillance**, and **Sales Practices & Suitability Solutions**, so your firm can optimize compliance across all surveillance modalities and business areas.

Communications Surveillance Model Optimization

NICE Actimize can optimize your firm's **Communications Surveillance** program through voice analytics and Natural Language Processing (NLP) fine-tuning. For example, the **ActimizeWatch Compliance** team will work with you to strengthen detection, reduce false positives and improve operational efficiency by:

- Updating your NLP (Natural Language Processing) models to extract new types of entities to enhance detection scenarios;
- Enhancing phrase packs and risk models with terminology specific to your business and markets to improve transcription quality and accuracy;
- Training your supervised machine learning models to better identify, recognize and classify communications by asset class and business relevancy;
- And incorporating Sentiment Analysis into the surveillance process.

Markets Surveillance and Sales Practices & Suitability Model Optimization

Our Model Optimization Services team can also guide your in-house team on how best to adjust model parameters, thresholds, and rules in order to minimize the 'noise' and maximize the effectiveness of your **Markets Surveillance**, and **Sales Practices & Suitability** Programs too.

ActimizeWatch Compliance places the responsibility of analytics optimization into the hands of Actimize experts, providing a hands-off experience for firms. With **ActimizeWatch**, we watch so you don't have to.

Behavioral Anomaly Detection



Today's prescriptive models are very effective for detecting known risks. But what if you don't know what you're looking for?

The reality is – risk is a moving target. As regulated employees devise new schemes and become more sophisticated at averting detection, traditional detection methods aren't always enough. NICE Actimize's Behavioral Anomaly Detection bridges this gap.

How It Works

Behavioral Anomaly Detection uses unsupervised machine learning models to detect behavior anomalies in regulated employee transactions and communications.

Traditional detection methods look for known things (e.g. a specific set of terms, used in a specific context, within a specific timeframe).

Behavioral Anomaly Detection is fundamentally different. It establishes a profile of normal behavior (for example, for a specific regulated user or group of monitored employees), related to communications and transactions. In the case of **Sales Practices & Suitability**, profiles can be established for individual advisors and groups of advisors, and for accounts as well.

Behavioral Anomaly Detection then uses these profiles to flag when things happen that are outside of the norm (anomalies). For example, is a trader or wealth advisor behaving differently than they've historically behaved? Or is that individual's behavior deviating from the group?

Discovered anomalies are then presented to the compliance analyst on a dashboard. The analyst can drill down into the data, investigate further, and escalate issues as needed. Newly identified and confirmed risks can also be fed back into the detection model to enhance and retrain it.

Behavioral Anomaly Detection takes machine learning to next level to help suspicious behaviors bubble to the surface, so your firm can always stay a step ahead of risk.

Put NICE Actimize to Work for You

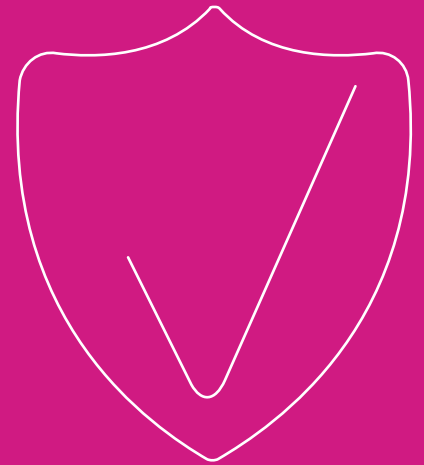


Benefit from Industry Best Practices

If you're making decisions about your analytics in isolation, you could be missing something. With **ActimizeWatch Compliance**, your firm benefits from proven best practices because we're able to anonymously pool and leverage lessons learned across our customer base. Your firm will be able to see larger threats at play in the marketplace and take steps to avoid them.

ActimizeWatch Compliance Benefits

- Continuous fine-tuning of analytics ensures latest detection capabilities keep up with regulatory and business changes
- Accelerated model optimization - optimizations that previously took months or years to develop can now be implemented in days or weeks
- Improves your firm's agility and speed in addressing market changes
- Stronger, accurate detection reduces risk of reputational damage and fines
- Lower false positive rates mean your analysts can focus on investigating and mitigating true risks
- Model Optimization Service reduces burden on your staff
- Optimizes compliance operations across all surveillance modalities and business areas
- Unparalleled expertise – leverages industry best practices and decades of experience in regulatory compliance, cloud computing, speech analytics, machine learning, and predictive and language modeling
- Anomaly Detection uncovers hidden risks and insights
- Analytics as a Service ensures cost predictability



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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