

Customer Profile:
Canadian Bank Subsidiary

Business Impact of the NICE Actimize Sales Practices & Suitability Solution:

Reduces Overhead & Regulatory Pressure

About the Institution



Financial institution with investment and wealth management offerings

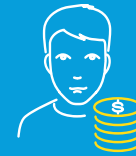
Business Need



Advised by regulator (Financial Conduct Authority) to improve equity trade monitoring or face possible fines/sanctions



Current in-house system ineffective; heavily dependent on manual research/ investigation



Limited IT budget & project resources; needed quick, low-cost solution

The Solution



Actimize Cloud Trade Surveillance (CTS) for Equities addresses supervision & surveillance requirements, detecting compliant equity, trading & sales practices issues

The Impact

10-week implementation to quickly address regulatory concerns

Increased monitoring effectiveness with single point of investigation



Met cost constraints and deployment timeline with vendor-managed Solution-as-a-Service