

Customer Profile:
Top Global Financial Institution

Business Impact of NICE Actimize Sales Practices & Suitability Solution:

Increases Effectiveness & Oversight

About the Institution



Full-service financial services organization with large wealth management group

Business Need



Lack of a centralized repository for regulatory compliance reporting



Review process for large operation tedious & time-consuming



Report distribution extremely difficult & manually intensive

The Solution



Actimize Sales Practices & Suitability & Trade Blotter automate the suitability compliance process – improving productivity, efficiency, and minimizing financial risk

The Impact

Expanding use to private banking group as well as across EMEA & APAC

Major reduction in supervision effort and response time for regulatory inquiries



Significant improvement in review effectiveness because of a new, exception-based review process