

NICE Actimize



SURVEIL-X Communication

**Comprehensive Communication Surveillance
and Risk Detection for a Complex World**

Today’s fast-changing world is making communications surveillance more complicated by the day. Regulated employees, many of whom are now working from home, are adopting new communication modalities – unified communications, mobile phones and instant messaging apps – in addition to using traditional methods. As face-to-face interactions become more difficult due to social distancing, voice and electronic communications are growing faster than ever.

At the same time, prescriptive regulations are putting more pressure on compliance resources, as more employees, asset classes, devices and communication channels need to be monitored, along with the need to detect intent. Added to this are inherent complexities of surveilling voice communications, especially multilingual communications with their vast array of accents and dialects.

Is your firm still relying on outdated point surveillance systems to monitor these different communication modalities? Are you finding it hard to connect the dots to detect intent? Are you left with compliance gaps due to an inability to surveil different types of communications and languages? Are legacy systems making it harder to detect conduct-related risks, driving up compliance costs and inefficiency, and overwhelming your staff with high false positive rates? Do your analysts lack adequate case management and investigation tools? **It’s time to step up to SURVEIL-X.**

Comprehensive Communications Surveillance Coverage in One Solution

SURVEIL-X Communication monitors one-hundred percent of your regulated employee communications, across all voice and electronic communication channels – turrets, desktop phones, mobile, email, instant messaging, chat, texts, social media, unified communications, and even document attachments.

SURVEIL-X Communication seamlessly connects to your existing communication archiving systems (both NICE and third party). to ingest structured, unstructured and semi-structured data. All data is WORM-protected so it can’t be overwritten or deleted. With built in voice transcription, **SURVEIL-X Communication** accurately converts voice communications to text.

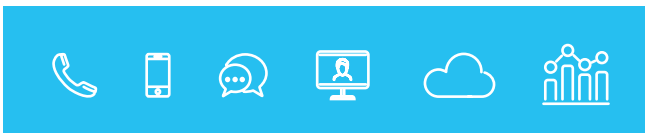
Ingested data is automatically cleaned, normalized, converted to an industry standard format, and indexed, so it can be analyzed, understood and leveraged across **SURVEIL-X Communication’s** compliance applications.

SURVEIL-X Communication also empowers compliance officers with powerful query tools for investigations and discovery. For example, compliance officers are able to identify specific instances where regulated employees are engaging in suspicious activities (e.g. potential market abuse) or not adhering to internal bank policies.

SURVEIL-X Communication uses NLP and text analytics to index interactions and make them searchable. Compliance officers are then able to conduct highly precise searches for specific sentence patterns.

The compliance officer can flag these types of suspicious communications for compliance review to determine if market abuse occurred.

Natural language understanding capabilities like stemming, lemmas and also synonyms, acronyms and customizable word categories (for example based on investment products, locations, or clients) give compliance analysts the flexibility to naturally expand searches to include specific types of targeted communications.



The SURVEIL-X Advantages for Communications Surveillance



One Surveillance Solution for All Regulated Employees

- One surveillance solution for all communication modalities, including voice
- Built-in transcription accurately converts speech to text
- Provides instant access to billions of records with fast investigative search and automatic reconstruction tools



Advanced Language Analytics

- Leverages NLP for highly accurate analysis of trader jargon
- Advanced language understanding reveals true context of communications, reducing false positives by up to 90%
- Expansive coverage: analyzes communications in 45 different languages
- More accurate detection than lexicon-based solutions



Increased Risk Detection

- Provides insight into risky communications for improved decision-making
- Out-of-the-box detection models provide unparalleled conduct risk detection coverage across dozens of languages, covering every asset class and key regulations
- Uncovers hidden risk and underlying intent within vast repositories of communications data



Lower Costs

- Reduces the cost of compliance by automating compliance workflows and improving overall efficiency of compliance analysts by up to 80%
- Reduces Total Cost of Ownership (TCO) through intelligent analytics and cloud deployment

The image displays two overlapping screenshots of the SURVEIL-X software interface. The top screenshot shows a 'Communication Work Item' for an email from Sam to Steve. It includes a list of categories with scores: PersonalBenefits (100), Profits (100), Personal Account (100), Disclosure (30), Manipulation (850), Market Manipulation (100), Order Placement (10), and Product Details (40). The total score is 1120. The email content shows a conversation about 'very positive news today' and 'Oh really, What was that'. The bottom screenshot shows a detailed view of an alert for 'Cromwell Fraser' with a 'Potential Priority Level' of 4. It includes a 'Summary Details' section with fields for From, To, CC, BCC, Source, Companies mentioned, and Name Mentioned. The 'Description' field contains a detailed analysis of the email content, identifying key phrases and concepts like 'Cromwells Test Email, Good Morning, Great Solution' and 'Alert CS_25681 for Account 201-67234067 on BRN due to suspected fictitious orders placed and canceled within time window of 2 minutes.' It also includes a 'Good morning' section with a detailed analysis of the email content, identifying key phrases and concepts like 'I have heard that SURVEIL-X is a great solution that helps Compliance teams satisfy regulatory requirements for financial service organizations. NICE has developed new capabilities that make investigating and supervising communications easier and more accurate than ever. With the latest cloud solution, we are working together with financial services organizations helping them to save big money by eliminating the overhead of maintaining and supporting an expensive on-premise solution. Firms are looking forward to seeing guaranteed results and help detect passing of inside information collusion events and attempted compliance avoidance. Many thanks CROMWELL FRASER Head of Financial Markets Compliance Sales NICE Actimize (T) + 1 (551) 256-5104 (M) + 1 (201) 286-3502 cromwell.fraser@niceactimize.com&mailto:cromwell.fraser@niceactimize.com> [cid:image001.jpg@01D608C6.D868BE0]&https://www.niceactimize.com/compliance/index.html?'

Know more. Risk less.

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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