

NICE · ACTIMIZE



SURVEIL-X Studio

Self-Service Analytics Reinvented

In the world of financial services, change is the only constant. Regulations are evolving all the time, and regulated employees are always finding new ways to avert detection. Internal policy changes and newly identified business risks can come at you fast too. In this ever-changing environment, surveillance models that get the job done today could be out-of-date tomorrow, exposing your firm to fines and reputational damage. If you're plugging the coverage gap with in-house solutions, or by mixing and matching out-of-the-box products from different technology providers, it's time to rethink your approach.

Need to Close Surveillance Gaps? Time to Rethink your Approach

Packaged out-of-the-box (OOTB) solutions can't cover every possible scenario. What's more, using different systems for analytics forces your compliance analysts to work in silos, causing them to miss the big picture and slowing them down. If you're relying on a combination of OOTB and in-house solutions to close coverage gaps, you could be creating more work and getting less in return.

Translating fast changing regulations and complex business requirements into new analytical models requires specialized skills and knowledge that can be tough to acquire and maintain in-house. There's always the temptation to plug new gaps with existing models, even if they don't quite fit the bill.

Analytical risk detection models also rely on good data – and a lot of time, energy and expense goes into sourcing, translating and preparing that data. Complex and time-consuming change control processes can add cost and slow the pace of innovation as well, causing delays and missed deadlines, as developers switch from application to application to program, test and push new models into production.

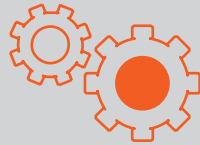
SURVEIL-X Studio: The Better Way

SURVEIL-X Studio's easy-to-use, drag-and-drop interface, OOTB templates, built-in integrations, data services, business tools and embedded change management workflow processes offer a better way. SURVEIL-X Studio provides all the building blocks your firm needs to create, test and deploy models efficiently and quickly. You can proactively address virtually any regulatory or internal compliance need on-the-fly and fast. Best of all, your business analysts don't need any technical expertise to use it. Instead of wasting time coding, and sourcing and scrubbing data, they'll be able to focus their time, energy and expertise on creating models, closing coverage caps and solving your toughest compliance challenges.

Self-Service Analytics as Easy as 1-2-3

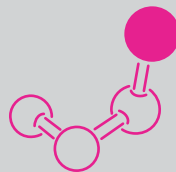
SURVEIL-X Studio builds on SURVEIL-X's extensive portfolio of out-of-the-box analytics by providing an all-in-one tool for your firm to quickly and easily develop, test and deploy analytics, tailored to your firm's unique needs. All work is done in one place (in the ActOne Case Manager) so your business analysts don't have to toggle from application to application.

1. Develop



Use SURVEIL-X Studio's easy-to-use, drag-and-drop interface to create your own analytical models. Choose from an expansive library of proven, easily customizable templates available out-of-the-box, or easily build your own rules from scratch. SURVEIL-X Studio's built-in integrations and data services automatically expose data sources via a point and click menu, including trading data and market data, along with common business functions such as related product API, currency conversion and market trends. SURVEIL-X Studio empowers even the most non-technical of business analysts to effortlessly and rapidly create models.

2. Test & Deploy

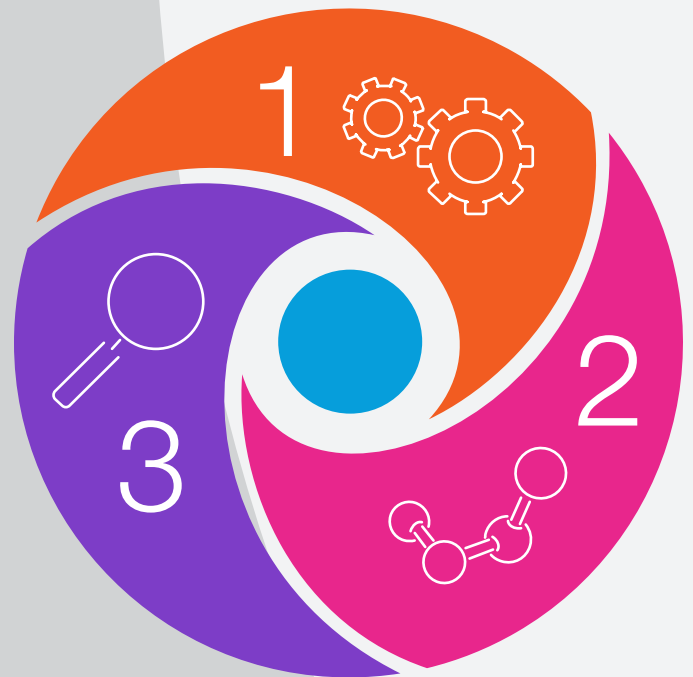


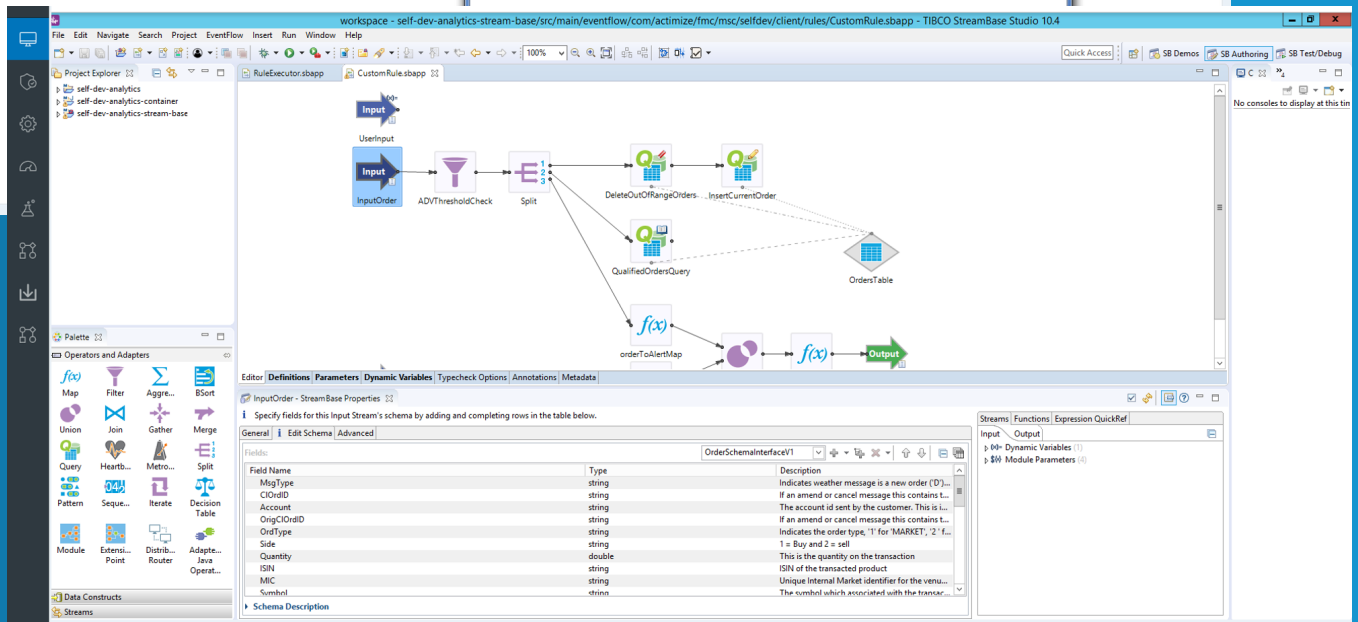
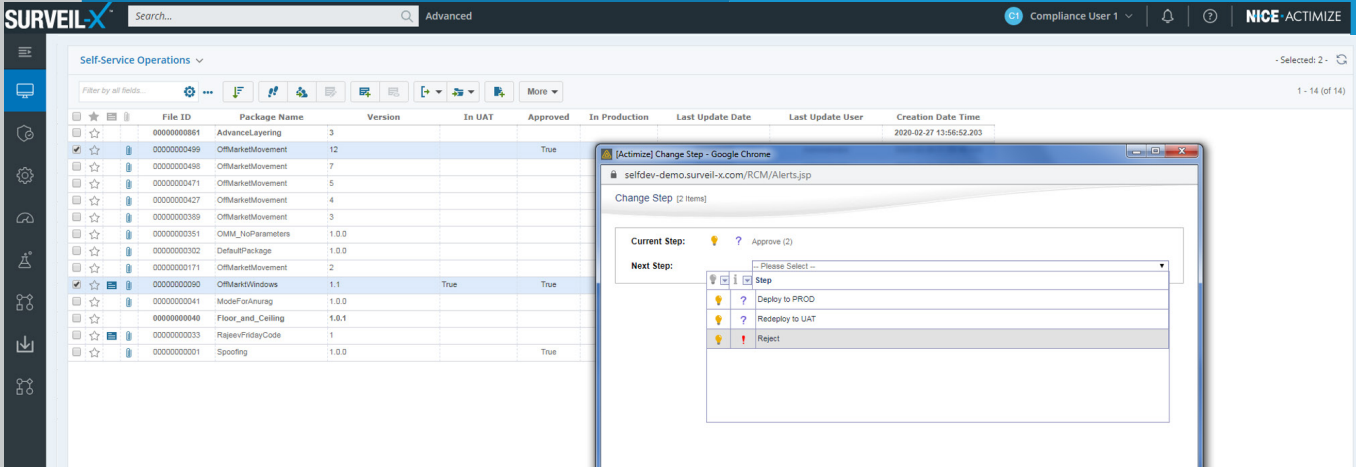
With SURVEIL-X Studio, testing and deploying models is fast, easy and seamless too. Everything – from development, testing and analysis of results to sign-offs and deployment to production – is done in one workflow-driven application. Push button deployment means you can literally deploy rules into test and promote those rules into production with a single click, with fully auditable, built-in change control process workflows to guide your team every step of the way.

3. Investigate



Once rules are deployed into production, all alerts are delivered to your analysts in the same ActOne case management platform, for a consistent, seamless user experience. ActOne's rich visual alerting capabilities provide comprehensive graphical representations of all detected risks, along with detailed timelines of events and explanations of alerts, leveraging a broad range of risk factors, including communications, trades and more.





Screenshots of SURVEIL-X Studio

SURVEIL-X: Surveillance Revolutionized

SURVEIL-X Studio is part of the SURVEIL-X Holistic Surveillance solution suite. The industry's first AI-powered, cloud-native, true holistic trade-related surveillance solution, SURVEIL-X detects all forms of risky behavior to ensure compliance with key global regulations, including MIFID II, Dodd-Frank, MAR, Regulation Best Interest and others, while also protecting firms from previously undetectable risks that could result in fines and reputational damage. SURVEIL-X revolutionizes surveillance by providing complete surveillance coverage with both AI-powered and traditional expert rule-based analytics, and advanced visualization tools, all on a cloud-native platform that drives down total cost of ownership. SURVEIL-X offers unparalleled risk coverage for buy- and sell-side firms, insurance companies, crypto exchanges, regulators and more, by enabling accurate detection and rapid, thorough investigation of market abuse, inappropriate sales practices, conduct risk and otherwise undetectable compliance risks to insulate firms from fines and reputational damage.

SURVEIL-X Studio Benefits



Close virtually any surveillance coverage gap. With SURVEIL-X's self-service analytics, any type of firm – buy side, sell side, wealth management and more – can close virtually any type of surveillance gap, to address regulations or internal requirements, fast. You get complete surveillance coverage, without the added costs, hassles and disadvantages of in-house developed or multi-vendor solutions.



Easy-to-use. Use SURVEIL-X Studio as your canvas to create self-service analytical models on-the-fly. SURVEIL-X Studio's intuitive point-and-click, drag-and-drop interface means that even non-technical users can build new models quickly, with no assistance from IT required.



Leverages NICE Actimize best practices and open API. With SURVEIL-X Studio, we've done the heavy lifting for you. Leveraging decades of experience serving hundreds of customers, we've created a purpose-built self-service analytics tool tailored to the needs of financial services firms. SURVEIL-X Studio has all the building blocks you need to conveniently create and deploy your own custom analytics, including integrations to data services, scalability to handle hundreds of millions of transactions, and even built in business functions and calculations including product API, currency conversions and market trends.



Proven Out-of-the-Box models. In addition to leveraging SURVEIL-X Studio for self-service analytics, you can also benefit from our proven OOTB models. No other surveillance solution offers a broader array of OOTB risk detection models for every regulation and asset class. With 150+ models, your firm can easily detect common misconduct scenarios such as Insider Dealing, Ramping, Wash Trades, Large Order Entry, Marking the Open, Mark Up / Mark Down, Off Market Pricing, and much more.



Productivity booster. With SURVEIL-X Studio, your business analysts can put their abundant knowledge to work developing models to reduce your firm's risk, rather than spinning their wheels sourcing, cleaning and integrating data, and doing other routine, manual tasks.



Rapid model development. SURVEIL-X Studio is a one-stop-shop for rapid model creation, testing and development. It saves time, reduces costs and accelerates innovation to insulate your firm from risks and reputational damage. Because it's a one-stop-shop, it eliminates the need to use and maintain various point solutions, which can be costly and complex.



Completely auditable. SURVEIL-X Studio's workflow-driven change management processes are completely auditable. Everything is tracked, from when a rule was first created and deployed to who touched it and approved it.



Seamless user experience. SURVEIL-X Studio cuts down on complexity, improves productivity, and delivers a seamless user experience. All rule creation, testing and production is done in one system – eliminating the need to toggle from application to application – and all data-rich alerts are delivered to analysts in exactly the same way. Business analysts and compliance analysts work in one system, instead of silos.



Streamlined investigations. Compliance analysts get unprecedented insight from data-rich alerts. Unlike multi-vendor OOTB or in house solutions, SURVEIL-X Studio delivers the same rich insights for each scenario every time, including detailed market graphs that show what was happening leading up to, after and when an alert happened.



Ensures consistency and standardization. Standard templates and processes guide effective and repeatable model development processes to ensure consistency, while accelerating time-to-delivery.

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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