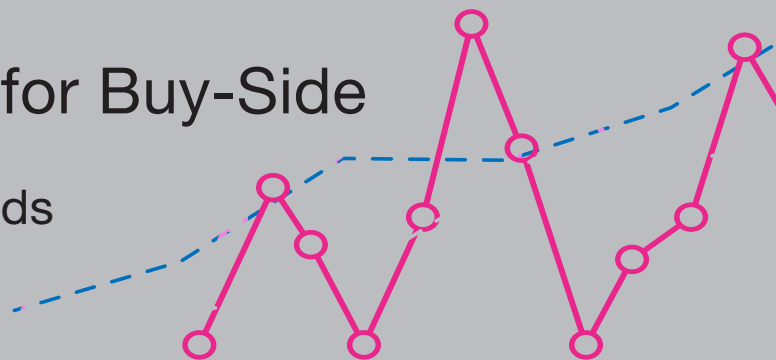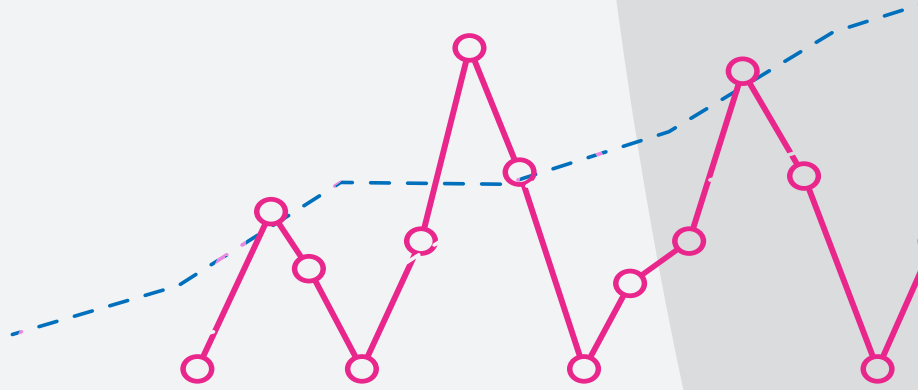NICE·ACTIMIZE

SURVEIL-X for Buy-Side

Asset Management and Hedge Funds

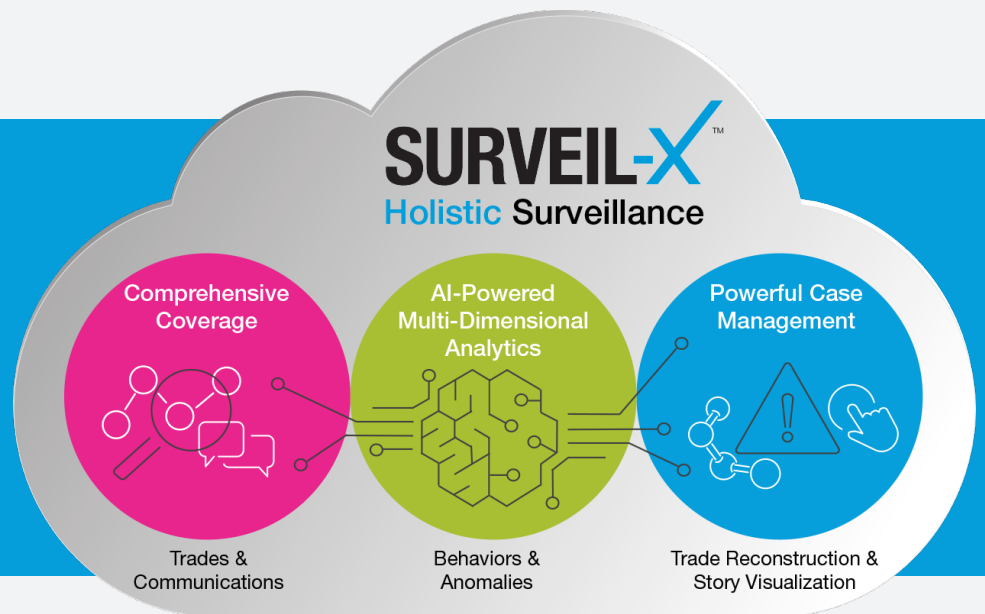# Trade-Related Surveillance Revolutionized

Dodd-Frank, MiFIDII, MAR, FINRA, MAS – regulatory pressures for Buy Side are increasing all the time. But it's likely your compliance resources aren't growing at the same pace. Is your firm managing large volumes of assets without adequate supervisory and surveillance coverage? Are outdated legacy surveillance point solutions driving up your compliance costs, overwhelming your compliance analysts with high false positive rates, and making it harder to identify and weed out conduct risk? It's time for a change.

Introducing SURVEIL-X: The Future of Surveillance is Here

With SURVEIL-X, you can make the most of your existing compliance resources while fortifying your firm's surveillance detection capabilities at the same time.

SURVEIL-X fundamentally changes surveillance detection to help your firm detect all forms of risky behavior. SURVEIL-X uniquely combines complete surveillance coverage, AI-powered analytic techniques, and award-winning case management capabilities that enable your compliance analysts to accurately identify and investigate conduct risks in a fraction of the time. SURVEIL-X's turnkey, cloud-native platform provides everything you need to shore up your firm's surveillance capabilities, all for one affordable subscription fee.

- Multi-Dimensional Analytics Using Trades & Communications

- Events Reconstructed to Demonstrate True Intent

- Discovers Previously Unknown Risk

- Cloud Agility and Cost Savings

- Provides Full Global Regulatory Coverage

SURVEIL-X ™
Holistic Surveillance

Comprehensive Coverage
Trades & Communications

AI-Powered Multi-Dimensional Analytics
Behaviors & Anomalies

Powerful Case Management
Trade Reconstruction & Story Visualization

The SURVEIL-X Advantages

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Complete Surveillance Coverage

Analyzes All Data Sources to Detect Known and Unknown Risk: Most current surveillance technology is limited by its ability to generate an alert using only one data set. SURVEIL-X goes beyond simple detection rules and thresholds to analyze and make sense of connected actions across all of your data sources, generating a single alert when risk is detected. Compliance analysts spend time reviewing what really matters, rather than chasing false alerts.

More Data Sources: SURVEIL-X can connect to, ingest and analyze data from 150+ data sources including voice and eComms, level two market data, news and sentiment analysis, and data from third party application service providers like TradeHub, Eze Castle, Murex, and more. By analyzing all of this data together, SURVEIL-X cuts through the clutter to identify real risks, and reveal the true intent behind regulated employee actions. SURVEIL-X also connects to third party e-Comm archiving engines including Symphony, Proofpoint and others.

Surveils All Communications: Say goodbye to surveillance gaps and costly on-premise point solutions! SURVEIL-X monitors one-hundred percent of your regulated buyside employee communications (including emails, instant messages, chats, social media threads, text messages, unified communications and voice).

AI-Powered Analytic Techniques

Multi-Dimensional Analytics: SURVEIL-X's AI-powered multi-dimensional analytics correlate all of your communications, trade data and related data streams, for much deeper analysis, insights, and understanding. Instead of being barraged by alerts from different systems, your compliance analyst gets one alert with all associated data for a complete view of what happened. No more manually hunting for data across systems and piecing it together.

Natural Language Understanding: Lexicon-based surveillance can zap your compliance analysts' productivity with false alerts. SURVEIL-X's Natural Language Understanding (NLU) reduces false positives by 90%. SURVEIL-X's NLU understands and analyzes communications in 45 different languages, automatically detecting people, places,

One Solution for All Asset Classes: With SURVEIL-X you also get one solution for all asset classes, from equities and OTC to FX, Futures and Crypto Currency. Cover all of your bases while lowering your overhead, training and maintenance costs.

Cross-Market/Cross-Product Manipulation: SURVEIL-X can also detect manipulation involving related instruments, and instruments traded on different venues.

Comprehensive Regulatory Coverage: SURVEIL-X helps buy-side firms achieve compliance with MiFID II, Dodd-Frank, Regulation Best Interest (Reg BI), MAR, MAS and other key regulations, through its comprehensive surveillance coverage / supervision and monitoring, with process-driven workflows, accurate record keeping, flexible records retention, timely trade reconstruction, robust reporting and more.

products, companies, trades, assets classes and conversation topics to reveal what really happened. Fine-tuned for financial markets, our NLU can even detect buy-side jargon indicative of market manipulation, including phrases like: 'do me a favor,' 'I don't want it on the same exchange,' 'sprinkle my orders over the street,' 'don't put it on the opening,' or telling words like 'unwind,' 'unload,' 'VWAP' and more.

Broad Range of Out-of-the-Box Risk Detection Models for Buy-Side: No other surveillance solution offers a broader array of out-of-the-box risk detection models for every regulation and asset class. With 150+ models, SURVEIL-X can easily detect common buy-side 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. And with our DIY analytics, you can even develop your own custom models without the added expense. Or if you prefer, leverage our Model Optimization Services and let our experts do the work for you.

Advanced Anomaly Detection: What you don't know can hurt you. That's why SURVEIL-X's advanced anomaly detection applies unsupervised machine learning to spot otherwise undetectable suspicious behavior patterns, like communications or trading activity that's outside of the norm for a specific account, portfolio manager or trader.

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Powerful Case Management

One Place to Work: Are your compliance analysts working in multiple case management solutions? With SURVEIL-X they can do all of their work in one system, and complete investigations in record time. Does your firm's compliance unit support multiple business lines and various types of alerts (e.g. Market Abuse vs. Sales Practices & Suitability)? Now, every alert and investigation can be managed in one system, saving your firm time, money and resources.
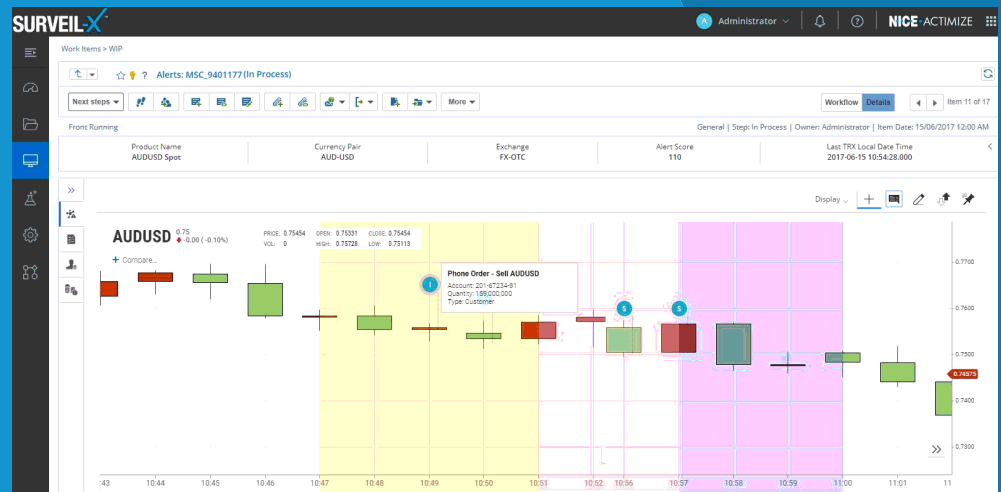
Gaining Efficiency through Automation: Why waste time manually piecing together trades and communications data when SURVEIL-X's automated trade reconstruction can do the work for you, and up to 50 times faster? With integrated workflows and robotics working in the background, SURVEIL-X significantly streamlines and automates the compliance investigation process – so your analysts spend less time on manual tasks and more time proactively managing risk.

Cloud Platform-as-a-Service

Want premium surveillance capabilities without the expense of inefficient and unmanageable on-premise solutions? With SURVEIL-X's cloud-native platform-as-a-service, you get everything you need all in one platform, for an affordable subscription fee.

Your firm will benefit from: faster deployment; reduced infrastructure, operational, training and maintenance costs; hassle free upgrades; seamless scalability; improved resiliency and security; and streamlined innovation.

Join the revolution and take your surveillance to a whole new level with SURVEIL-X

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.

Learn More

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