NICE
ACTIMIZE

YOUR ACCOUNT

YOUR SAVINGS

YOUR BONDS

+ 2305,

+ 12654,

+ 48023,

PORTFOLIO
+ 52 %

SURVEIL-X™
for Online Brokers

Step up your surveillance, instill regulatory confidence, reduce false alerts and resource drain

As an online brokerage firm, demand for your services is growing as retail customers flock to online investing. As regulators keep a watchful eye, you need to stay a step ahead of market abuse. But this isn't always easy to do. Account volumes, trading activity, even the variety of products and asset classes your retail customers are investing in are all increasing.

As they do, false alerts are also on the rise. Your compliance analysts are overwhelmed by the tsunami of false alerts, but make no mistake about it - the risk of missing something important is far worse. One slip-up can draw unwanted attention from regulators and cause irreparable brand damage.

Know

Act

Optimize
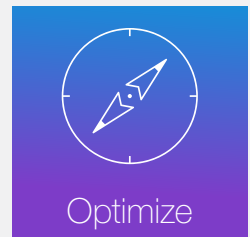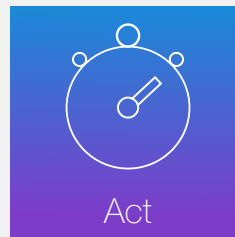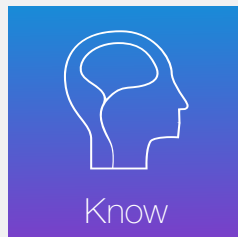
Are These Challenges Familiar to You?

- Are false alerts draining you firm's resources and driving up compliance costs?

- Is your firm's reputation on the line due to an inability to identify hidden risks?

- Are coverage gaps preventing you from complying with regulations?

- Do your compliance analysts lack effective investigation tools?

- Is your surveillance system unable to scale to handle growing transaction volumes, asset classes and emerging risks?

- Are you unable to effectively detect all forms of market abuse?

- Are you concerned your current surveillance approach might not meet the scrutiny of regulators?

SURVEIL-X Addresses All of These Challenges

SURVEIL-X
Holistic Conduct Surveillance

Complete Coverage	Precision Detection	Intelligent Investigation
Trades & Communications	Behaviors & Anomalies	Trade Reconstruction & Story Visualization
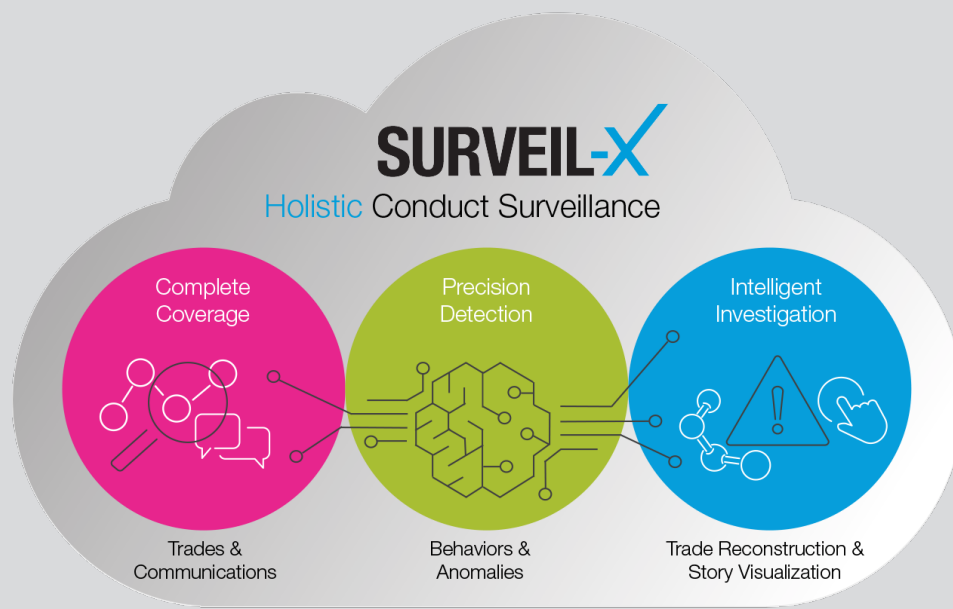
Introducing SURVEIL-X
for Online Brokers

With SURVEIL-X, your firm can finally cut through the clutter of false alerts to accurately detect market abuse and reduce compliance resource drain, while using anomaly detection to identify hidden risks, and leveraging smart investigation tools to help your analysts disposition alerts faster and more effectively.

Asset Classes & Product Types Covered

- Equities
- OTC
- FX
- Futures
- Cryptocurrency
- Fixed Income
- + More

Sample OOTB Models for Common Online Broker Market Abuse Scenarios

- Insider Trading
- Wash Trading
- Front Running
- Off Market Trades
- + More

Comprehensive Coverage and Accurate Detection Cut through The Clutter of False Alerts

SURVEIL-X offers a broad array of Out-of-the-Box (OOTB) risk detection models for every regulation and asset class. Your firm can readily detect common market abuse scenarios like Insider Dealing, Wash Trading, Front Running, Off Market Trades, and more, while reducing false positives by up to 70 percent.

With cross-product and cross-market manipulation falling under greater regulatory scrutiny, SURVEIL-X can also detect sophisticated market manipulation involving related instruments, whether they are traded on the same or different venues.

In addition to taking advantage of SURVEIL-X's OOTB analytics, your firm can use SURVEIL-X Studio to easily create, test and deploy custom analytic models to fill coverage gaps, and address unique business needs. You can even build additional checks and balances into your surveillance program by creating models to identify retail customers with excessive alerts who you might want to put under heightened supervision.

Of course surveillance depends on data and with traditional surveillance technology, as your business grows, your data costs increase as well. In contrast, SURVEIL-X automatically ingests market data and provides that data to you as a service, with no hidden fees.

Anomaly Detection: Identifying True Hidden Risks

As an online brokerage firm, you're in a unique position. Ultimately your firm is responsible for catching market abuse, even if your retail customers are the ones engaging in it. But market abuse risk can sometimes slip by traditional rules-based analytics.

With traditional prescriptive detection methods that focus on only identifying known risks at specific moments in time, bad actors can sometimes fly under the radar. SURVEIL-X's anomaly detection offers your firm a higher level of protection, by leveraging machine learning and historical transactional data (i.e. orders and executions) to bring otherwise undetectable risky behavioral patterns to the forefront, for example trading activity that's outside of the norm for a specific account or investor.

SURVEIL-X Screen Shot: Operational Metrics Dashboard

Smarter Case Management for Streamlined Investigations

Imagine having to manually keep track of everything involved in your case? Having to remember where you left off and what to do next? Your analysts do it every day.

SURVEIL-X's **Case Manager** addresses this challenge by applying automation and intelligence to every stage of the compliance investigation process. As transaction volumes and alert caseloads grow, you won't need to hire an army of analysts because the ones you already have can work smarter and more efficiently. Each time your analysts log on, they're presented with alerts and explainable analytics, so they have all the information they need to disposition alerts, all in one place, right at their fingertips.

There's also no need to navigate external systems to pull data together. Analysts are able to intuitively visualize information to understand and evaluate risk alerts, and quickly connect the dots, draw conclusions and make decisions. They get insight into market events and trading patterns, and can clearly see what was done and why, with links to related market data and news.

As your analysts move through investigations, robotics work in the background to automate repetitive, manual processes, and policy-driven workflows guide analysts through the next steps to take. Analysts can instantly escalate a case, and automatically reconstruct trades with a single mouse click, cutting investigation time from days to minutes. They can also collaborate with other investigators and departments, upload documents and notes, and share complete trade activities and detailed findings. Because all actions are tracked, they're also fully auditable.
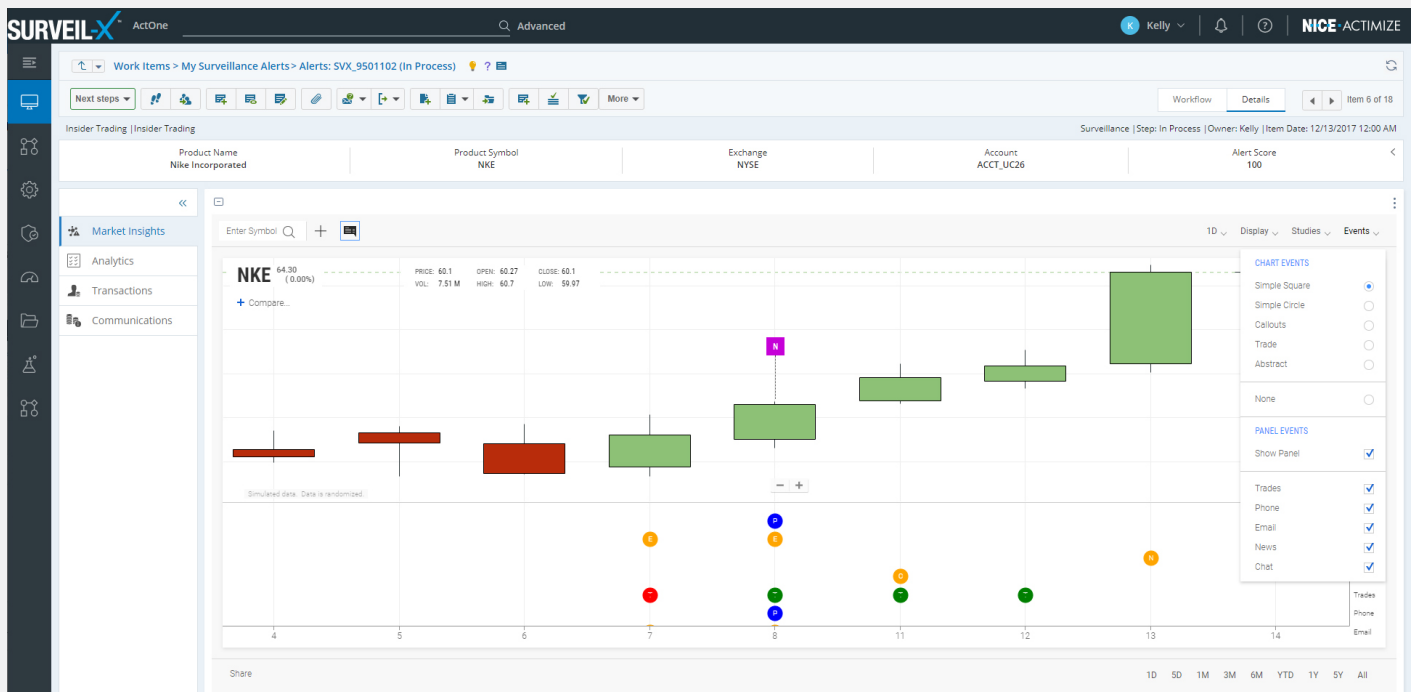
SURVEIL-X Screen Shot: Event Timeline Visualization

SURVEIL-X Benefits

Institution-grade surveillance for your online brokerage firm

Comprehensive risk detection supporting all regulations and asset classes

Instills greater confidence for regulators through enhanced surveillance controls

Fully scalable as transaction and data volumes increase

Significantly reduces false positives and compliance resource drain

Anomaly detection identifies otherwise undetectable hidden risks for higher level of protection

Improves efficiency of compliance analysts through automation

Insulates firm against reputational damage and fines due to market abuse risk

Lowers data costs (market data included as a service at no extra cost)

Easy-to-use analytics self-development closes surveillance gaps

Built in case management tools streamline investigations and dispositioning of alerts

Eliminates silos, your analysts do all of their investigative work in one system

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About SURVEIL-X

NICE Actimize's SURVEIL-X Holistic Conduct Surveillance offers unparalleled risk coverage for online brokers, buy-side 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.

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.

Learn More

www.niceactimize.com/compliance

Americas, Hoboken Office, NJ, Tel. +1 551 256 5000
EMEA, London Office, Tel. +44 0 1489 771 200
APAC, Singapore Office, Tel. +65 6222 5123

compliance@niceactimize.com