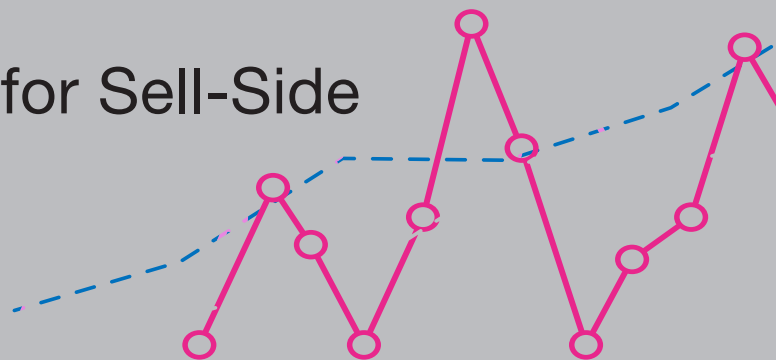


NICE ACTIMIZE

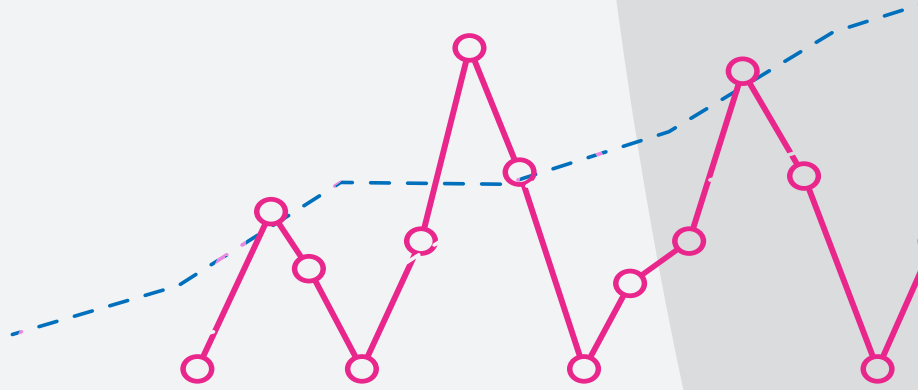


SURVEIL-X for Sell-Side

Banks, Brokers and Market Makers



Trade-Related Surveillance Revolutionized



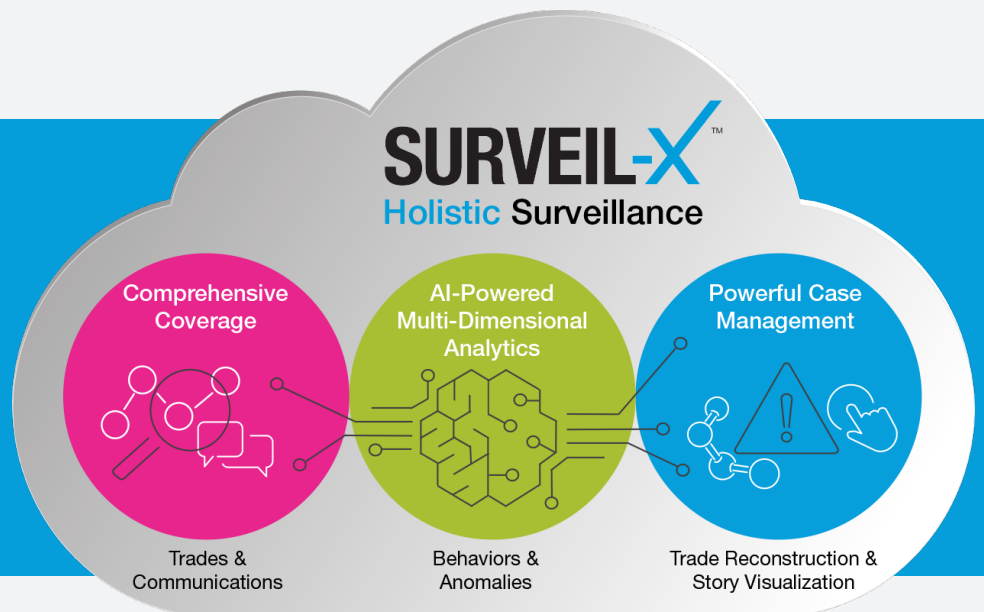
Whether your sell-side operation is trading in stocks, bonds, foreign exchange or other financial instruments, you're under increasing regulatory pressure. As the volume and variety of regulated communications grow, the supervision challenges and risks get more complex. It's no longer enough to detect market abuse; you need to be able to identify intent as well. At the same time, electronic trading has ramped up the misconduct potential.

What's at stake? Your firm's reputation, fines, even personal liability for you. Regulatory authorities have responded by stepping up their game with smarter, AI-driven surveillance technologies. Isn't it time you did too?

Introducing SURVEIL-X: The Future of Surveillance is Here

With SURVEIL-X revolutionary capabilities, you'll take your firm's trade-related surveillance to a whole new level. SURVEIL-X uniquely combines comprehensive surveillance coverage, AI-powered analytics, and award-winning case management so your compliance analysts can proactively identify true risks and understand the intent behind actions taken. SURVEIL-X's turnkey, cloud-native platform provides everything you need to manage operational risk and comply with key regulations.

- 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



Complete Surveillance Coverage

Connected Actions: SURVEIL-X goes beyond simple detection rules and thresholds to analyze and make sense of connected actions across all communications and trades, 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, order management systems, OTC evaluated prices, level two market data, news and sentiment analysis, and data from other third party application service providers. 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! SURVEIL-X monitors one-hundred percent of your regulated sell-side employee communications including emails, instant messages, chats, social media threads, text messages, unified communications and voice.

One Solution for All Asset Classes: With SURVEIL-X you get one solution for all asset classes, from equities and OTC to FX, Futures and Cryptocurrency. Cover all of your bases while lowering 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 sell-side firms achieve compliance with MiFID II, Dodd-Frank, MAR, and other key regulations, through its comprehensive surveillance coverage / supervision, process-driven workflows, accurate record keeping, flexible records retention, timely trade reconstruction, robust reporting and more.

AI-Powered Analytic Techniques

Multi-Dimensional Analytics: SURVEIL-X's AI-powered multi-dimensional analytics go far beyond looking at one-time events, calculations and thresholds to analyze and correlate all of your communications, trade and related data streams, for much deeper analysis and insights. Instead of being barraged by alerts from every direction, your compliance analyst gets one alert with all associated data for a complete view of what happened. No more manually piecing data together from different systems.

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, products, companies, trades, assets classes and conversation topics to reveal what really happened. Fine-tuned for financial markets, it can even detect sell-side jargon indicative of market manipulation or collusive behavior.

Broad Range of Out-of-the-Box Risk Detection Models for Sell 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, including high-frequency trading models, SURVEIL-X can easily detect common sell-side misconduct scenarios such as Spoofing, Layering, Momentum Ignition, Marking the Close, Insider Dealing and much more. And with our DIY analytics, you can even develop your own custom models without the added expense of professional services, or leverage our Model Optimization Services and let our experts do the work for you.

Model Fine-Tuning: SURVEIL-X's advanced analytics tuning reduces false positives by automatically adjusting for market activity and/or individual account/trader profiles. For example, while other surveillance systems might alert to unusually large orders based on a fixed definition (value threshold), SURVEIL-X can draw upon average daily market volumes and/or trader/account profiles (that take current / historical activity into account).

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, for example communications or trading activity that's atypical for a specific account or trader.

Powerful Case Management

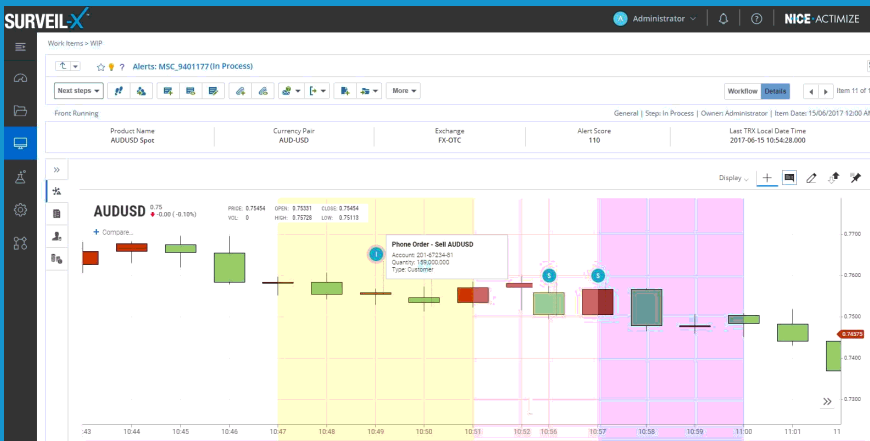
One Place to Work: Are your compliance analysts working in multiple case management solutions? With SURVEIL-X they can do all of their work in one system, and complete investigations in record time. Does your firm employ one compliance unit to support different business lines and review various types of alerts (e.g. Market Abuse vs. Sales Practices & Suitability)? Now, every alert and investigation can be managed from the same 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 your analysts, 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 can spend less time on manual tasks and more time proactively managing risk.

Market Visualization and Replay: To be able to act on information, you need to be able to put it into proper context and visualize the story behind it. With SURVEIL-X analysts are able to intuitively visualize all of the information they need to understand and evaluate risks, and quickly connect the dots, draw conclusions and make decisions. Analysts get insights into market events, trading patterns, and conversations, and can clearly see what was done and said and why, with links to related market data, news, communications, HR data, compensation information, and more. For example, with SURVEIL-X's interactive market replay analysts can visualize how the market behaved around the time an order was placed.

Cloud Platform-as-a-Service

Want premium surveillance capabilities on a budget? With SURVEIL-X's cloud-native platform-as-a-service, 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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