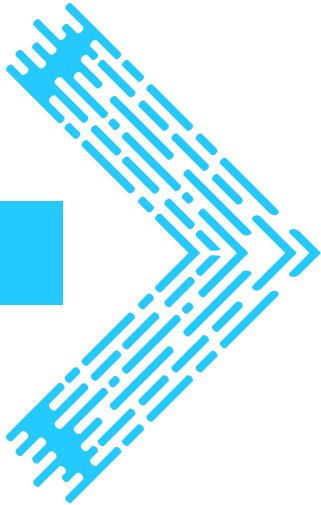


NICE Actimize



SURVEIL-X Conflicts

**Manage and Monitoring Employee
Conflict of Interests related to
Personal Account Dealings**



Regulators have been shining a light on personal account dealing. Therefore, firms must:

- Understand their PAD risks
- Design clear policies and processes around those risks
- Develop a culture where adherence to their rules is the norm

One Solution to Ensure Regulatory and Firm Compliance

Firms today struggle with the ability to provide a single comprehensive solution that gathers all the different data, provides the necessary flexibility, and performs all the various checks required to monitor personal account dealing activity.

With the **SURVEIL-X Conflicts for Personal Account Dealing** solution, firms can now effectively and efficiently manage pre-trade and post-trade employee conflicts of interest and ensure regulatory and firm compliance.

Surveillance Analytics Detection Models

- **Pre-Clearance Detection Models** ensure employees are correctly requesting the proper trading approvals according to the firm policies prior to employee trading.
- **Trade Request Reconciliation Detection Models** compare the employee trade request against the executed trade. These models analyze and detect if the employee trade that was executed matches the trades request.
- **Post Trade Detection Models** review trades in employee personal accounts that are in conflict with the firm's personal Investment policy. These models would check if there were certain employee trading violations like trading during blackout periods, if there was a large employee trade, trading a product ahead of a client order, etc.

Key Benefits to SURVEIL-X Conflicts for Personal Account Dealing



Track and ensure employees are following the regulatory and firm specific policies around personal account dealing



Provide full flexibility for identifying information during the trade request process



Standardize the trade request process



Analyze and identify suspicious activity between what employees request to trade vs. their actual trading activity



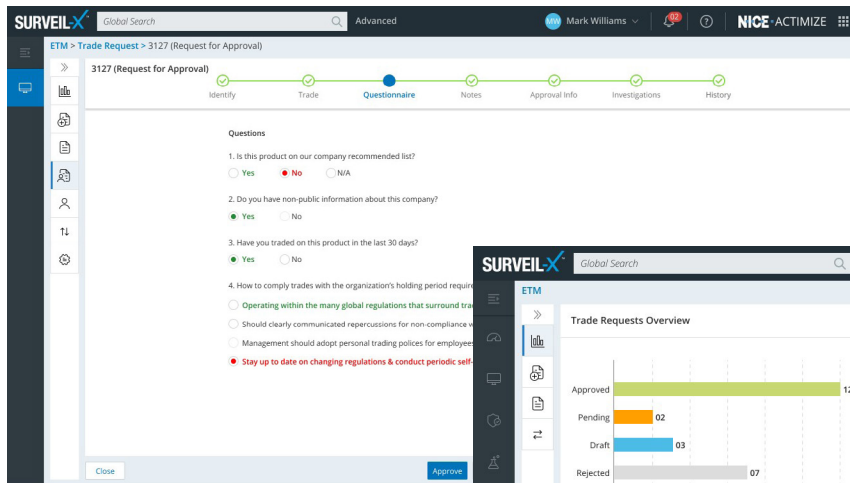
Conduct full employee post trade surveillance checks like day trading, watch/restricted list, trading ahead of a client order, etc.



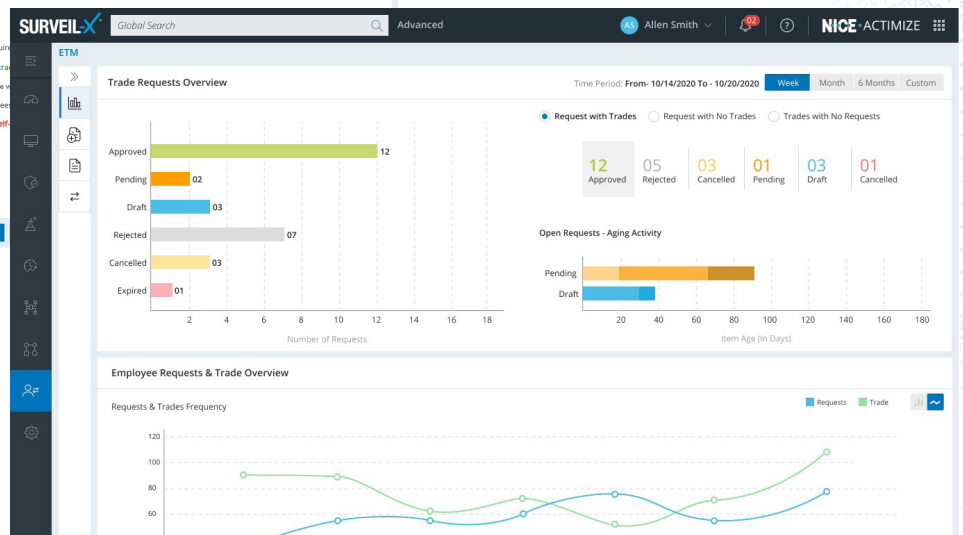
Allow all levels of employee trading to visualize and view their activity



Provide a full audit of the employee trading surveillance process



SURVEIL-X Conflicts: Request for Approval



SURVEIL-X Conflicts: Trade Request Overview

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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