



**NICE Actimize**

2023 EMEA

**engage**

London - 16 May

Financial Markets  
Compliance

## Markets & Conduct Surveillance Track

### Surveillance & Compliance Sessions

10:45 - 11:45

#### **The Future of Voice and Electronic Communications Surveillance**

Join our regulatory and regtech experts for an enlightening discussion about the future of voice and electronic communication surveillance, and what it means for your firm's compliance program. Learn what you need to do to avoid fines, stay out of the headlines, and ensure complete coverage across all communication channels.

11:45 - 12:45

#### **Suitability Regulation Roundup: Evidencing Best Interest, Consumer Duty and More**

With regulators increasing their focus on retail investor protections, you need to have the right systems and programs in place to monitor for client abuse and poor sales practices, and provide evidence of your firm's compliance. In this roundup, our panelists examine expectations around Consumer Duty and Regulation Best Interest, and actions your firm should be taking now to avoid regulatory breaches, reputational damage and fines.

13:45 - 14:45

#### **Rethinking the Fight Against Market Abuse**

In a world where everything is changing, it's easy for market abuse to fly under the radar. Your compliance team is the first line of defense – but are they equipped with the right control strategies and tools? Join us for this session as we unveil winning strategies and the latest advancements in conduct surveillance to help your firm combat insider trading and market manipulation.

14:45 - 15:45

#### **Preventing Misconduct With Effective Employee Monitoring**

In every corner of the world, regulators are aggressively pursuing firms for conduct infractions, ranging from rogue trading to suitability breaches. Furthermore, regulations like the FCA's SM&CR are raising the bar on accountability. Senior managers can now face personal fines, even jail time, for reckless decisions. Join us for this session to learn how to deploy an effective surveillance program to mitigate conduct risk.

15:45 - 16:45

#### **Thinking Positive: Next Generation Analytics**

Advancements in analytics is a game-changer in surveillance, and this session is a must-attend for anyone looking to stay ahead of the curve in the fight against misconduct. We'll discuss the latest innovations such as self-service, AI, and contextual analytics, and the impact they can have on surveillance programs.