



WELCOME

The Presentation Will Start Soon



Certified Financial
Crime Specialists

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*“Why is the real source
of power.”*





The Enemy Within: Internal Threats in FinCrime

January 27, 2022



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Meet the Speakers



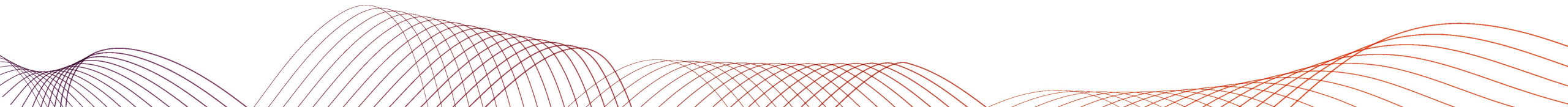
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Casey Nelson
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Escape the
**FinCrime
Matrix**

What is **Misconduct**?

Misconduct is broadly defined as any action of a financial institution or individual that leads to customer detriment, or has an adverse effect on market stability or effective competition.

Types of Market Misconduct

**Market
Abuse**

Client Abuse

**Conflicts of
Interest**

**Inappropriate
Communication**

Remote Working is Increasing Risk

- Handling Non-Public Information
- Access to Client Data
- Use of Unauthorized Communication Devices/Channels



The Opportunity

Communication Surveillance

Financial firms struggle to join the dots across multiple communication data types in order to gain a single-pane-of-glass and detect **employee misconduct**.

40%

of firms have started surveilling personal devices*

Market Drivers

Work from home

More channels

Tech Drivers

NLP advancements

Multi-language support

79%

believe surveillance should be assessing culture in addition to market abuse*

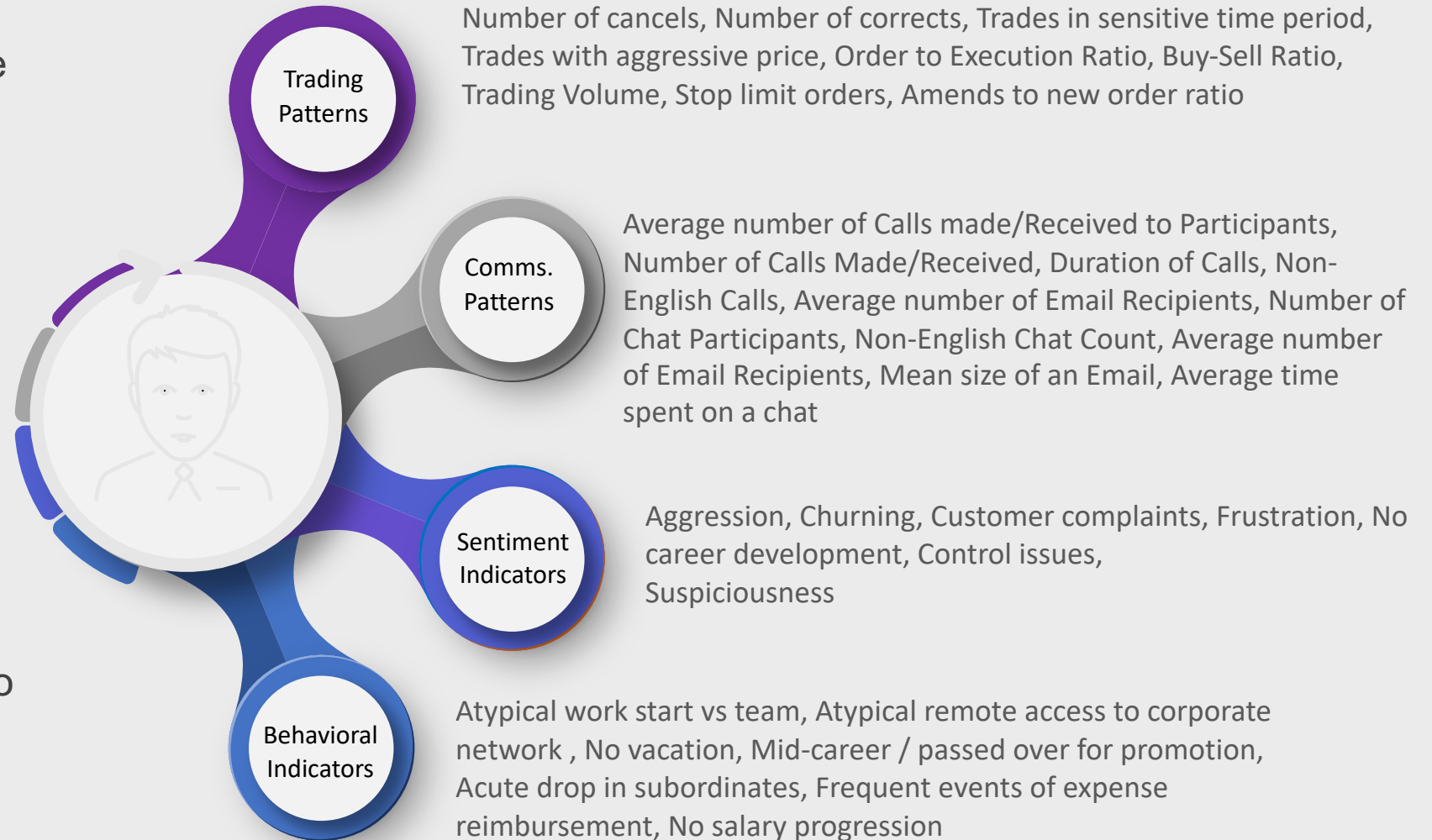
Greater supervision coverage

Integration with trade data

*XLoD Survey Results. 2021

Know Your Employees?

- **Vendor solutions** provide comprehensive view of the employee activities
- Benchmark employee risk score v/s peer group
- Enable senior management with
 - Spots risk areas to focus
 - Early identification of patterns
 - Breaking down silos to gain a holistic employee view



QUESTIONS?



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