



Beat tomorrow's breach today

Integrated Trade & Communications Surveillance

Monitoring & Surveillance: The Stakes Have Been Raised

Major developments in the global regulatory environment are increasing the onus on market participants to archive, monitor, and report suspicious behaviour. From front-line supervisors to compliance officers, financial sector professionals must get to grips with increasingly complex and data-intensive processes, and overcome the challenges these bring.

Key Regulatory Drivers



MiFID II

Intensive archiving and trade reconstruction requirements around trading and communications data



MAR

Trade surveillance requirements for all buy-side and sell-side market participants



SM & CR

Senior staff in the UK now personally liable for failure to implement effective compliance monitoring systems and controls



SEC Reg BI

Routine monitoring requirements focused on communications around financial transactions

Compliance System Limitations



People

Combining trading surveillance and communications surveillance is a manually intensive process requiring specialist expertise – resources that would be better spent on investigation



Limited Data

Communications data review has traditionally been limited in scope and quality by structural constraints. Semi- or unstructured data is often the key to valid communication monitoring



No Holistic Oversight

Compliance and Supervision platforms lack workflow connectivity and alignment, requiring managers to go to multiple sources for a complete picture

IT'S TIME TO ACT.

Disparate and disconnected legacy systems hold back complete surveillance.

It's time for a new approach.

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The Opportunity: Rely on RIMES and SOTERIA

RIMES and SOTERIA unify the two cornerstones of successful supervision and compliance programs through integrated trade and communications monitoring. The solution combines RIMES' best-in-class RegFocusSM Market Surveillance service with SOTERIA, the leading communications surveillance platform, enabling firms to scientifically link communication and trading exceptions to identify suspicious activity and report to regulators. The service also drives efficiencies for firms by replacing manual data management processes with the automated framing of workflows between trade and communications systems.

Smarter Surveillance

With the combined service from RIMES and SOTERIA, firms' trade and monitoring systems can communicate with each other for a smarter approach to surveillance. For the service, SOTERIA is framed directly within RIMES RegFocusSM Market Surveillance and integrated into its review and workflow processes. When a trade exception alert is generated on RIMES, the platform creates search criteria and passes these on to SOTERIA to create and run a related search of communications. If required, users can perform further alert investigations by modifying search criteria in SOTERIA.

RIMES

SOTERIA



Award-winning regulatory solutions for market surveillance



Award-winning, best-in-class communications surveillance platform for the financial services industry



World-class data management expertise for a data-first approach to trading surveillance



Real-time voice and electronic communications monitoring with immutable ledger



Pattern-based detection algorithms to identify instances of market manipulation and insider dealing



Intuitive visualisation of messaging traffic



Full compliance workflow and reporting to support a firm's compliance and supervision framework



Globally-dispersed electronic and audio communications archival and immediate retrieval, enabling expedient trade reconstruction