NICE
Actimize

Detecting Money Laundering Through Capital Markets: The New Frontline

NICE Actimize

Protect Your Firm from the Risks, Reputational Harm, and Financial Penalties Associated with Money Laundering Through Capital Markets

Criminals use capital markets and associated products to conceal the origins of funds through intricate trading activity and the subsequent transfer of illicit assets. Monitoring this activity poses many challenges: there are diverse financial instruments for criminals to exploit, and financial institutions (FIs) often don't have the right systems in place to detect money laundering through capital markets. Consequently, detection and prevention are daunting tasks.

Capital Markets risk is no longer exclusively the reserve of market abuse. Criminals are using international capital markets to launder ill-gotten gains.

Money laundering through capital markets is attracting more of regulatory authorities' attention, with pressure on FIs to implement controls and systems to monitor and detect suspicious activity. With the right solution, it's far easier to manage risk and maintain compliance. NICE Actimize offers comprehensive solutions to mitigate, detect and report suspicious activity relating to money laundering through capital markets. They can help you overcome the challenges of monitoring and detection suspected money laundering activity through your capital markets business.

## Stay Ahead When Monitoring Money Laundering Through Capital Markets

To address the risks associated with regulatory requirements in capital markets firms, teams can leverage a range of analytical technologies to mitigate threats.

Comprehensive Customer Understanding

Understanding suspicious activity starts with recognizing normal, legitimate activity through tight integration with onboarding, ongoing KYC, third-party data intelligence, transaction monitoring and surveillance systems. Using NICE Actimize's proven end-to-end solutions embedded with the latest advances in AI at the core, FIs can now fully understand customers and their risks. FIs can granularly risk-rate customers and segment them with peers for targeted monitoring of specific money laundering risks based on extensive out-of-the-box risk factors, including:

Customer identifiers
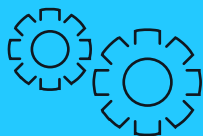
Products and services utilized

Relationships

Geographies

Activity

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Extensive Coverage

Traditional monitoring of accounts including trade settlements, although still important, no longer provides sufficient coverage to detect money laundering through capital markets. Expanding coverage when monitoring money laundering through capital markets can mitigate risk.

Coverage must now extend to monitor trade executions to detect activity such as mirror trading and suspicious, one-directional trading. NICE Actimize's out-of-the-box detection coverage provides fast and accurate detection, covering many money laundering through capital markets typologies.

Manage Changing Risk with Self-Build Models

With prebuilt coverage, AML teams are in control, with self-service tools to build an FI's own rules and AI models. This further enhances money laundering monitoring and detection in capital markets, enabling teams to keep pace with fast-changing criminal activities.

Integrated AI and Machine Learning

Through continuous innovation, NICE Actimize developed extensive AI capabilities, which aid in improving efficiency and effectiveness of monitoring and detecting money laundering through capital markets.

The AI is built to meet AML program challenges, reducing false positives through advanced segmentation and AI capabilities, including:
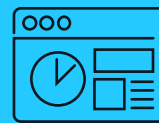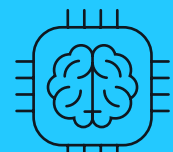
Identity resolution
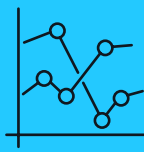
Network analytics

Anomaly detection

Predictive analytics

Generative AI

FIs can spot more suspicious activities faster and with greater accuracy than ever before. This AI-powered solution drastically reduces noise and costs, enabling teams to focus on real threats, and it hinders criminals attempting to use the markets to launder their illicit wealth.

Powerful Case Management and Investigation

With a fully integrated case management platform, AML analysts can take an entity-centric approach when investigating alerts.

Using data intelligence, dynamic workflow and visual, consolidated investigations as well as generative AI to summarize alerts and build the SAR narrative, investigators have rich, comprehensive, and relevant information on subjects and activity. This assists them in making fast and accurate investigation decisions.

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The solution offers full governance and oversight so management can quickly assess the performance of models and rules, alert management, and investigator performance using visual dashboards and reports. This helps to understand the effectiveness in monitoring money laundering through capital markets. Additionally, all actions, decisions and documents are recorded within the solution, providing fast retrieval for audit or regulatory reviews.

Investigate money laundering through capital markets with precision, speed, and consistency with NICE Actimize.

Detect Money Laundering with an Entity-Centric View

Monitor and detect money laundering through capital markets and accurately manage risk using NICE Actimize's entity-centric AML solutions. These purpose-built solutions work seamlessly together to deliver end-to-end coverage, from customer onboarding to ongoing monitoring and suspicious activity investigation. Using these solutions enable FIs to maintain an accurate, enterprise-wide view of customers, their activity, and associated risk.
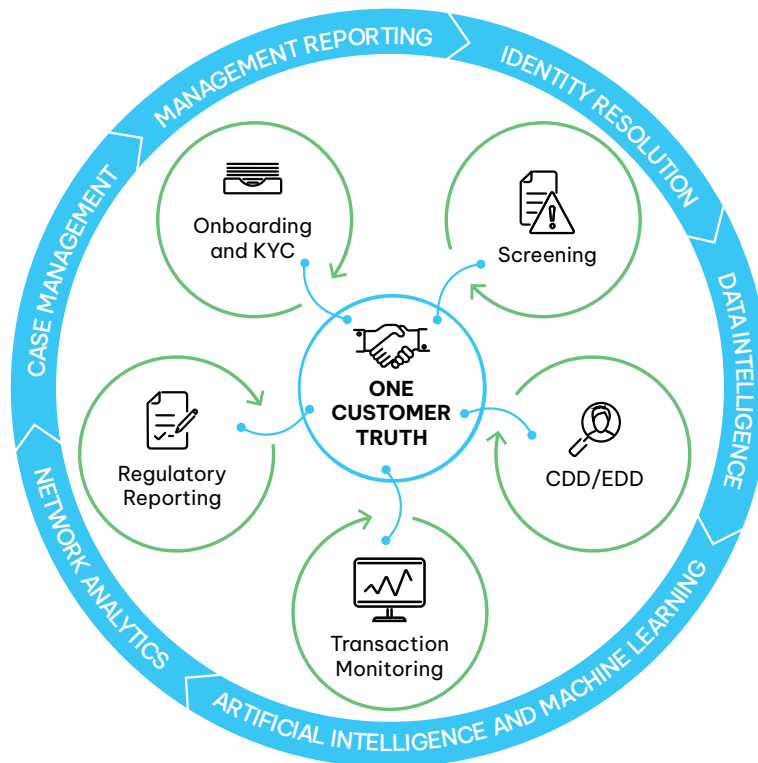
Speak to an Expert

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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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