eComms Surveillance Solution

ACA™

Employees' increasing use of electronic platforms like Teams, Zoom, SMS, WhatsApp, and WeChat to communicate with colleagues and clients can lead to increased conduct risks at your firm. At the same time, regulators around the globe are scrutinizing how risk and compliance management teams are mitigating these risks.

ACA's eComms Surveillance Solution is an integrated natural language processing surveillance and investigations platform that ingests eComms, messaging, mobile traffic, and voice calls to provide firms with a complete view of potential high-risk activities and behavior across their organization. By reducing false positives and delivering more precise, meaningful alerts, our solution increases the effectiveness and efficiency of an eComms surveillance operation while reducing the time needed for teams to review electronic and voice communications. Our intuitive interface allows end users to focus on reviewing results and addressing risks.

Policy library

» Satisfies and demonstrates a duty of supervision with our ever-growing policy library and rigorous documentation validated against multiple regulatory bodies

» Use the policies as-is, customize, create your own, or leverage ACA's managed services team for policy maintenance

» Proactive approach to surveillance aligned with the principles by which you manage your firm

» Rapid and robust policy testing and approval process against live production data

» Policy categories include:
  » Conduct Unbecoming
  » Controls
  » Dissemination
  » Fraud
  » Gifts and Entertainment
  » Hearsay
  » Insider Threat
  » Sales Malpractice
  » Wall Crossing

Risk surveillance

» All content discovery and false positive removal tools are exposed to the end user and can be individually tested (no black boxes)

» Clustering tools for handling of multiple related IOIs

» Dynamic inputs to policy logic for removal of contextual content

» Extensive function set that considers sentiment, conduct, relationships, keywords, sentences, attachments, and message metadata

Natural Language Processing

» Sentence-based vector analysis, sentiment analysis, and document-based clustering for content discovery, language identification, and non-responsive content removal

» Language-specific analyzers allow for robust native language policies

For more information, contact us here.

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Security and integrations

» Built on enterprise-level infrastructure and secure platform

» Single sign-on (SSO) and two-factor authentication, APIs, and other enterprise-level integrations are available

» Active Integration with ComplianceAlpha Market Abuse and Control Room modules

» Optional integration with ACA attested 17a3-4 compliant books and records storage of communication records using ComplianceAlpha eComms Archive

» Alert generation and network analysis tied to a metadata layer that allows for customized alerting, permissioning, relationship measurement, and content controls

Relationship forensics

» Calculate relationship strengths between all surveilled personnel and other parties based on all communications to provide a thorough network analysis

» Maps employees' behaviors, activities, and relationships to uncover potential high-risk behavior

» Network analytics and eDiscovery toolset

» Isolate conversations of interest to uncover how employees connect, form groups, and conduct business using patented behavioral algorithms to define the context

» Risk measures are exposed throughout the platform as contributors to policy and components of review process

Reporting analytics and audit trail

» Customized dashboards and reports with ComplianceAlpha Analytics

» Record all human and system activity in the platform's comprehensive audit trail

» Robust reporting and presentation of alert closure and escalation to defend program repeatability and suitability
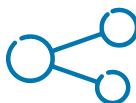
Connectors

» Extensive collection of connectors allows capture and surveillance of employee communications across a broad array of enterprise platforms, including:

   » Email
   » Financial platforms
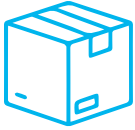   » Collaboration solutions
   » Voice
   » Mobile
   » Social media

For more information, contact us here.
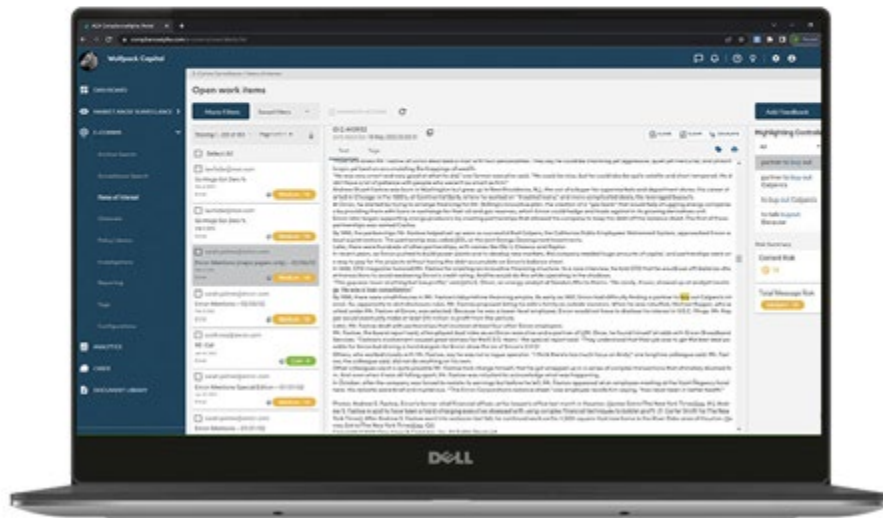
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Product Packages

ACA offers a range of technology, support, and managed service options for eComms Surveillance designed to fit your firm's needs.

	Core	Pro	Managed Services
Analytics	X	X	
Full audit trail for all system actions	X	X	
Relationship forensics	X	X	
Connectivity to ACA archiving module	O	O	
Natural Language Processing	X	X	
Machine Learning	X	X	
English language surveillance	X	X	
Surveillance using 1 ACA connector	X		
Multilingual surveillance		X	
Voice transcription, charged by the hour		X	
Integration with external systems via API		O	
Mobile surveillance		O	
Managed Services	O	O	
Assistance with the review and escalation of items of interest			X
Ongoing policy maintenance for a defined number of policies			X
Setup and administration of reports as requested by client			X

X – Included
O - Optional

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