The cost of combating financial crimes and managing compliance is on a constant rise. While financial institutions are experiencing increasingly stringent regulations and regulatory scrutiny, ongoing financial turmoil is pressuring budgets throughout the industry. This atmosphere has made high efficiency a business imperative. Automated monitoring of trader, customer, and employee activity within a comprehensive surveillance and investigations process is a natural first step to achieve this, but today’s environment also demands a 360° oversight of financial crime and compliance program activity to ensure business continuity and a high ROI. Oracle Financial Services Trading and Broker Compliance Analytics enables data exploration, business intelligence, and analytical reporting that provides clear operational visibility into Financial Crimes and Compliance Management program performance.

**Complete Financial Crime and Compliance Management Coverage**

Oracle Financial Services Trading and Broker Compliance Analytics complements the scenario-driven processes found in Oracle Financial Services Trading Compliance and Broker Compliance produces to further explore raw data in an ad-hoc manner, as well as measure program effectiveness and show areas where improvements could assist in meeting ongoing or future demands. Trading compliance program managers generally depend on three key dimensions when defining their financial crime and compliance strategy:

- **People.** A key component of a successful risk and compliance strategy is insuring your resources are productive and diligent.
- **Process.** Without a sound process, business activity can quickly become chaotic and reactive potentially resulting in efficiencies and lost revenue.
- **Information.** Readily available information serves to validate past processes and drive improvements. Senior executives and managers rely on up-to-the-minute and accurate information for strategic and tactical decisions.

Over time, your surveillance solutions generate valuable information related not only to your core business data, but also around the effectiveness of your employees and business processes. Oracle Financial Services Trading and Broker Compliance Analytics leverages these three key dimensions to provide clear and accurate information for analytical reporting purposes. It offers key stakeholders a complete insight into their financial crime and compliance initiatives to reduce costs and achieve operational efficiency.
Discover sophisticated financial crime, lower costs and improve efficiencies by sharing information and data across your Trading and Broker surveillance programs.

**Sophisticated Analytics with Ad-hoc Exploratory Capabilities**

While financial institutions have widely adopted automated approaches for discovering suspicious and fraudulent behaviors and producing reports for management and regulators, investigators often need access to business information on their own terms. Oracle Financial Services Trading and Broker Compliance Analytics delivers pre-packaged analytics and reports that provide an immediate and comprehensive understanding of an institution’s financial crime and compliance program, but does not stop there. Increasingly, investigators want to easily derive the linkages between disparate information elements in a fashion that makes business sense. These information characteristics demand a reporting and analytical tool that can bridge multiple information silos and derive business value for advanced decision making.

Oracle Financial Services Trading and Broker Compliance Analytics integrates sophisticated, ad-hoc analytical tools with Oracle's industry proven Financial Services Data Model to meet these demands. Some of the key capabilities are:

- **Interactive dashboards** with drill down functions to analyze the data behind the rolled up metrics.
- **OBI “Answers”** allowing investigators to create ad hoc reporting using standard business nomenclature and perform searches across business information such as firm trades, orders, accounts, and market data.
- **Communicate** business information by exporting information to other widely used productivity tool formats like MS Excel, PDF, etc.
- **Collaborate** by sharing custom reports with other team members.
- **Secured Access** to information without compromising data access policies and guidelines.

**“Future-Proof” Your Compliance Investment**

Oracle Financial Services Trading and Broker Compliance Analytics operates within the Oracle Financial Services Financial Crime and Compliance family of solutions, the first comprehensive set of applications to meet the particular needs of the financial services community. This solution comprises Oracle Financial Services’ best-in-class risk and compliance behavior detection solutions for Anti-Money Laundering, Fraud, Know Your Customer, and Trading and Broker Compliance applications. It surrounds these point solutions to provide an end-to-end solution that leverages a robust data model and comprehensive dashboard capabilities to deliver a single transparent, holistic view of all Financial Crime and Compliance related activities across the enterprise.

Oracle Financial Services helps you to identify operational inefficiencies that increase noncompliance risks and overall compliance costs.

The unified Oracle Financial Services Financial Crime and Compliance family of applications helps you tackle today’s tactical risk and compliance problems while future-proofing compliance spending across regulatory mandates. By establishing a strategy to address risk and compliance initiatives, you can respond to changing business and regulatory conditions while leveraging existing business, functional, and technology components thereby improving the consistency and effectiveness of your data, increasing your business performance, improving your time to production and strengthening your competitive advantage: all while controlling your overall compliance costs.
About Oracle Financial Services Analytical Applications

Oracle Financial Services Analytical Applications bring financial institutions best-of-breed capabilities to proactively manage Financial Crime, Compliance, Risk, Treasury, Finance and the Front Office. The applications are built upon a commonly available analytical infrastructure consisting of a unified financial services data model, analytical computations, a Metadata driven “R” modeling platform, and the industry-leading Oracle Business Intelligence platform.

A single, unified data model and infrastructure provides one version of the analytical “truth” to business users throughout the entire enterprise. This enables financial services institutions to confidently manage performance, governance, risk and compliance. Shared data, metadata, computations and business rules enable institutions to meet emerging business and regulatory requirements with reduced expenses and the unified platform helps financial institutions to leverage existing investments.

CONTACT US

For more information about Oracle Financial Services Trading and Broker Compliance Analytics, visit oracle.com/financialservices or call +1.800.633.0738 to speak to an Oracle representative.

Hardware and Software, Engineered to Work Together

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