surveilLens™
PROACTIVE COMPLIANCE

Comprehensive Enterprise Solution
for Compliance and Risk Monitoring

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surveilLens™ is an enterprise compliance and risk monitoring platform that combines machine learning and data analytics to offer a one-stop solution for organizations to manage risk and maintain compliance.

surveilLens™ combines multiple elements of an 'effective' compliance program and 'adequate procedures' as required by global regulators. We help organizations navigate the complex world of legal, regulatory and anti-fraud compliance while reducing the time spent on in-house monitoring and investigations. Through the use of Big Data methods, the surveilLens™ platform secures, assimilates, and manages both structured and unstructured data in substantial scale.

SURVEILLENS™ APPLICATIONS IN THE REGULATORY ARENA INCLUDE:

- Anti-bribery anti-corruption
- Anti-money laundering
- Healthcare fraud
- General fraud
- Foreign Account Tax Compliance Act compliance
- More to come.

SURVEILLENS™ MODULES INCLUDE:

- Transaction Monitoring and Internal Controls Assessment (TM)
- Risk Assessment (RA)
- Due-Diligence (DD)
- Policy and Training Management (PTM).

For more information or to request a demo please visit us at:
www.surveil-lens.com or contact us directly at: **(212) 804-5734**

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UNIQUE FEATURES OF SURVEILLENS™ INCLUDE:

- Dynamic and **self-learning** capabilities
- Unmatched **anomaly detection** and monitoring capabilities
- Analysis of **large volumes** of structured and unstructured data
  - processes **10,000,000 +** transactions a day (easily scalable)
  - **100 percent** data coverage and analysis
  - over **10,000** customizable rules
- **Real-time** transaction analysis
- Provides higher **false positive** accuracy
- Seamlessly integrates data from **multiple systems** – CRM, HRMS, ERP, Email Servers and Expense systems
- Offers **complete workflows** to support review of red flag items
  - complete **audit trail** of all work performed
- **Data visualization** and report building tools which make red flags and their audit trails easy to evaluate and act upon
  - feature-rich, easy to use management dashboard
  - customizable reporting capabilities.

THE SURVEILLENS™ ENTERPRISE PLATFORM IS EASY FOR IT DEPARTMENTS TO IMPLEMENT AND FOR ORGANIZATIONS TO USE:

- Integration option to organization's internal systems or hosted by surveilLens™
- Feature richness enables organizations to fit their specific needs infrastructure within a network or in the cloud
- Security standards, as the platform meets the highest global data privacy requirements.

ABOUT SURVEILLENS™

surveilLens™ provides enterprise fraud monitoring, governance, compliance and risk solutions.
Our enterprise platform operates in real-time, analyzes large volumes of structured and unstructured data, and provides higher false positive accuracy. This results in cost efficiencies and achieves greater overall return on investment.

surveilLens™ identifies, mitigates and remediates organizational risks while bringing convenience, effectiveness and efficiencies to an organization's compliance program.
Big Data analytic technology provides organizations with customizable and scalable compliance solutions. This transforms the traditional manual approach of governance risk and compliance to an automated one.

surveilLens™ was founded by experts with over 100 years of combined global experience in anti-fraud, risk monitoring, legal, regulatory compliance, technology, data science and auditing.
Our subject matter expertise combined with a top engineering team of software designers and Big Data theorists makes us a leader in domain-learned models across various industries.

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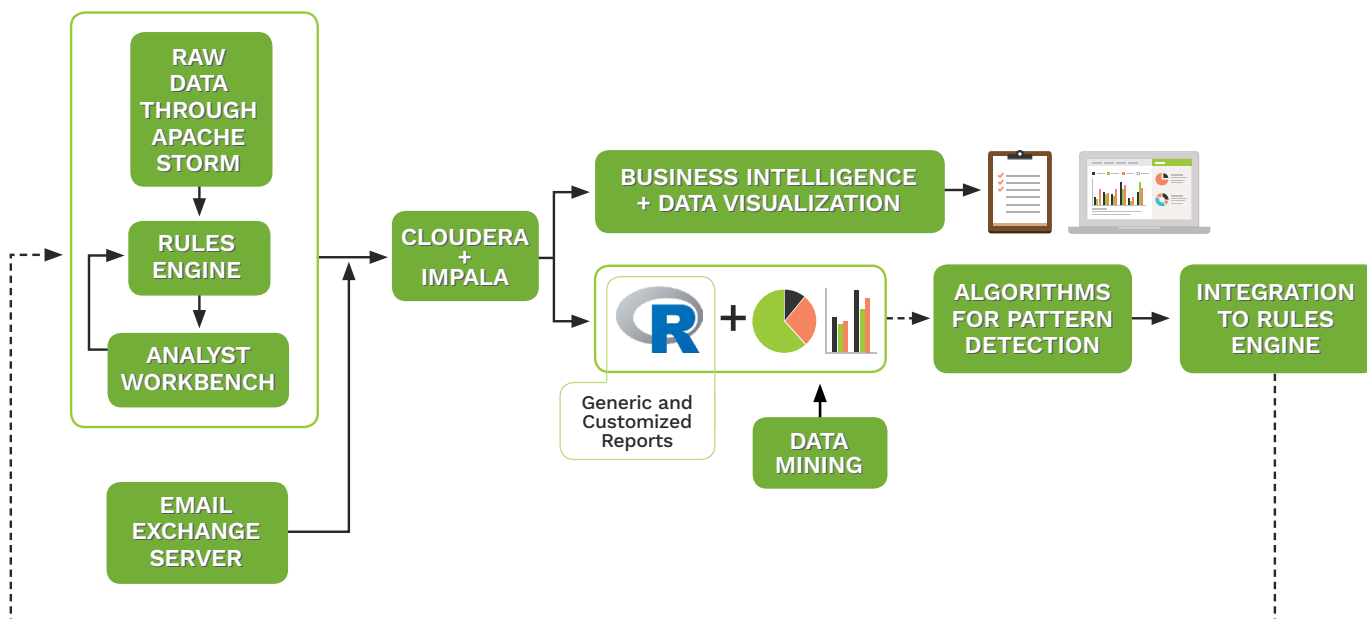
surveillens™ is an enterprise technology platform that incorporates key elements of an 'effective compliance program' and risk indicators as required by key stakeholders within and outside an organization.

Using Big Data methods, our enterprise platform secures, assimilates and manages data from multiple diverse systems on a substantial scale. The platform provides self-learning, anomaly detection and monitoring capabilities. These capabilities effectively reduce false positive rates and increase efficiency of the review process.

Our platform has innovative data visualization and report building tools, which make red flags and their trails easy to evaluate and take remedial actions as needed. There is an intuitive workflow enabled resolution process embedded in the solution designed for superior customer experience.

| SURVEILLENS™ TECHNICAL SPECIFICATIONS

The surveillens™ solution is feature rich for an organization to customize its use to fit specific needs. An organization is able to implement the infrastructure within its network or in the cloud via Amazon Web Services. Designed to meet the highest security standards, the platform meets global data privacy requirements.

Combined with the capability to secure and manage large data sets in real-time, the surveillens™ platform differs from solutions of other providers in the following manner:

- Complementary, state-of-the-art technologies seamlessly integrated to make proactive compliance effective and efficient – rule based system, machine learning, graph based technologies, stream processing, business intelligence, data visualization, statistical packages and Big Data.

- High performance and scalable architecture enables the monitoring of millions of transactions per day non-intrusively and securely.

- Highly interactive rule designer across both structured and unstructured data formats, and a powerful back testing system to create new rules and deploy them confidently.

EASE OF DEPLOYMENT

The surveilLens™ enterprise platform has the ability to operate securely either within an organization's firewall or on the cloud. It also has the ability to extract data from existing enterprise systems with minimal to no changes in the source systems, effectively making it a plug-and-play solution.

Our highly configurable solution enables deployment within days instead of months, providing organizations with a proactive compliance shield rapidly. It is available for your adoption and customization today.

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Transaction monitoring is a critical component of any compliance program in that it allows organizations to prevent improper or fraudulent activity **before** it occurs.

Effective transaction monitoring exposes flaws in other parts of an organization's compliance program like poorly designed or ineffective internal controls or lack of appropriate policies and procedures. This enables an organization to stop payment to risky parties.

Challenges Associated With Traditional Transaction Monitoring Solutions

Many of today's transaction monitoring programs are limited in the following three basic but critical areas:

❶ Rearward looking approach – most solutions do not operate in real-time. Studies show that companies lose an average of 5% of revenue per year to fraud. One of the reasons is that data is reviewed only *after* transactions have passed through an organization's enterprise resource planning software. In the case of fraudulent payments, the organization will already have incurred the loss *before* the fraud is discovered. surveilLens™ Transaction Monitoring (TM) flags transactions as they occur and stops payments *before* they are sent to the payees, reducing loss from fraud.

❷ Data review – most solutions do not analyze unstructured data. Studies show however that 80% of an organization's data is in unstructured format. surveilLens™ analyzes all forms of data in an organization, providing a holistic approach to monitoring.

❸ False positives – most solutions are not capable of intelligently sorting out false positives. This results in cost inefficiencies because human and capital resources are expended vetting transactions that ultimately may prove to be non-risky. surveilLens™ provides this accuracy by reducing false positives and providing a more targeted compliance review.

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SURVEILLENS™ TRANSACTION MONITORING AND INTERNAL CONTROLS ASSESSMENT (TM)

The surveilLens™ TM solution extracts all forms of an organization's data, both structured and unstructured, in real-time, and presents the data in a meaningful manner for effective analysis. Using the latest technologies allows inclusion of all types of data including emails, chat messages as well as social media and web content. The solution aggregates the data into an intuitive workflow to identify, investigate and remediate red flag items.

Scalable Architecture

surveilLens™ TM is capable of handling transaction volumes of more than 10 million transactions a day. It is easily scalable to accommodate larger data sets.

Continuous Monitoring of 100% of Data

surveilLens™ TM analytics provides continuous monitoring of 100% of data providing real-time updates.

Integrated Framework for Machine Learning

surveilLens™ advanced machine learning capabilities harness the power of recent technologies to enable the solution to learn and adapt to client situations. By using TM, organizations are able to review potentially risky transactions derived from structured and unstructured data, analyze network relationships and review internal controls. The results are evaluated using sophisticated statistical techniques and then automatically incorporated into the machine learning algorithms that are part of the rules process flow. This creates a more efficient monitoring process with better capabilities for predicting potentially risky transactions. It also reduces false positives, saving resources and enhancing returns on investment.

Simultaneous Internal Control Review

surveilLens™ TM contains a library of internal controls, mapped to the rules engine as well as the organization's specific business processes. Consistent with the COSO framework, the solution allows reviewers to assess the design and evaluate the operating effectiveness of controls simultaneously with their review of transactions. Organizations are able to identify deficiencies in internal controls even in instances where the underlying transactions themselves are not necessarily risky.

Intuitive Workflow

The solution's workflows are designed to create a unique customer experience. Transactions are presented for review based on severity and probability of risk based on machine learning algorithms, ensuring that more risky transactions are assigned a higher priority. A complete audit trail is maintained for all actions performed during the workflow process. Review findings are accessed via the solution's unique data visualization dashboard that creates reports for internal and external presentation.

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