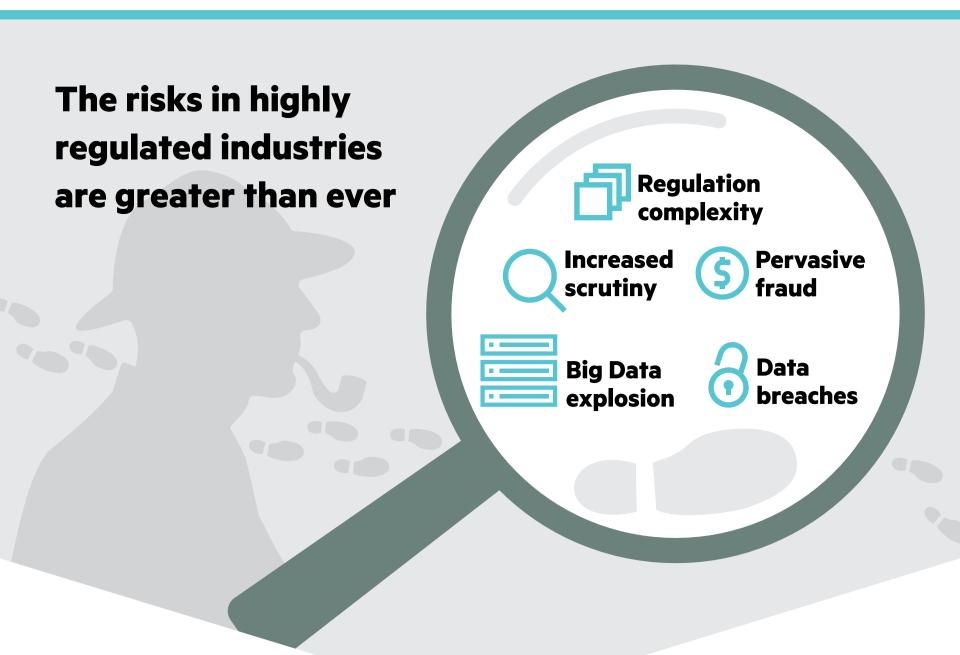
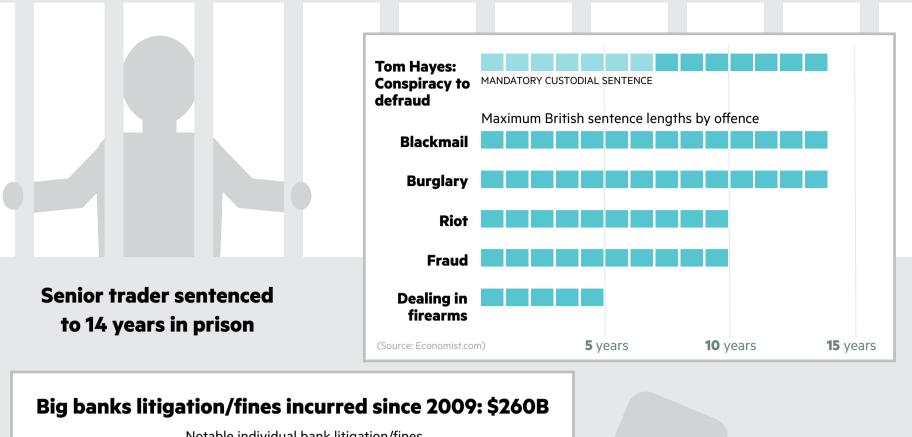


# Why you should look into Investigative **Analytics to rein in risk**

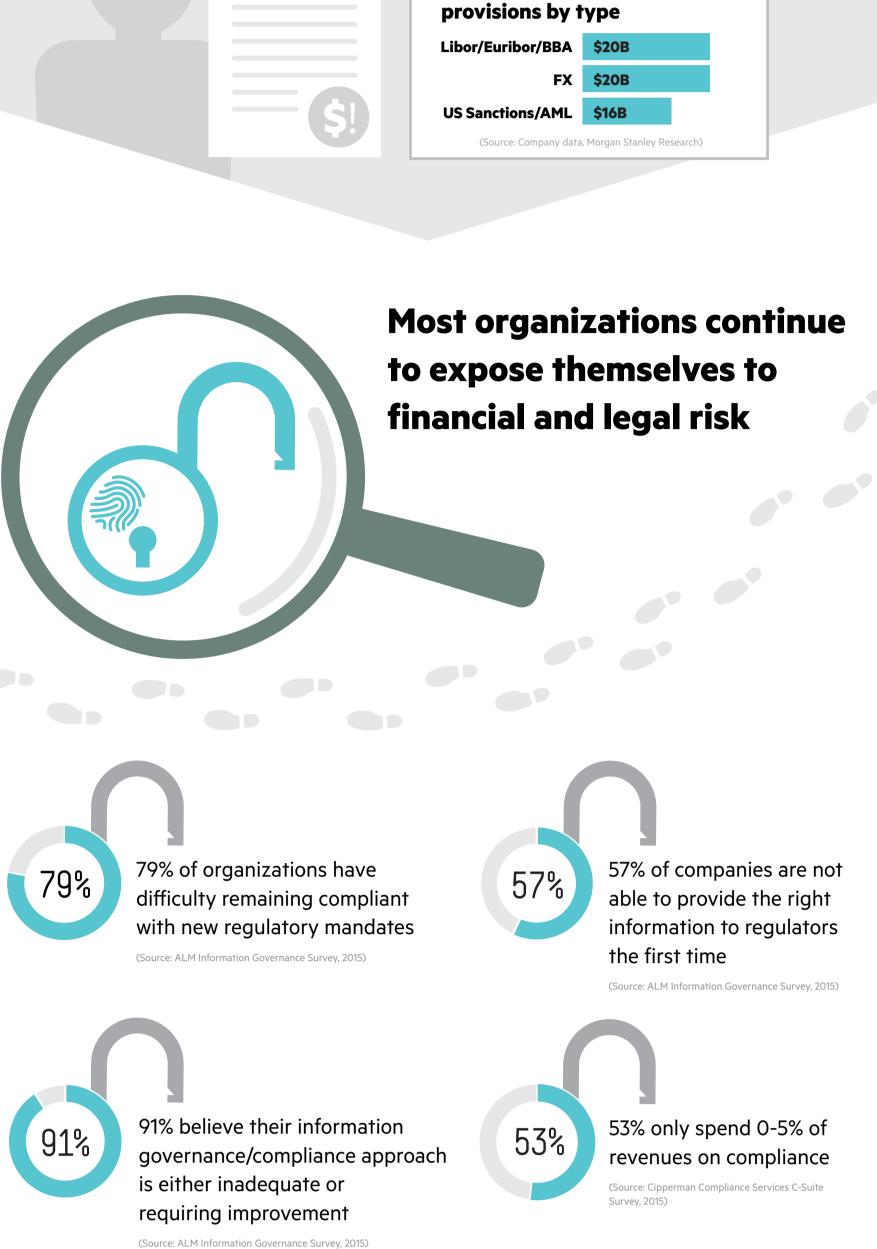


## **Penalties for non-compliance and** fraudulent activities continue to escalate



Notable individual bank litigation/fines **American Bank** \$68.1**B British Bank** \$33.2B \$15.7B German Bank French Bank \$13.7**B** (Source: Company data, Morgan Stanley Research)

> **US and European banks paid \$65B fines and penalties in 2014** (Source: Boston Consulting Group, Wall Street Journal) US and European fines and



### **Content surveillance and supervision** approaches are ineffective

Search only for language concepts • Lacks context: not driven by a risk event such as LIBOR fixing or trade anomaly

US regulation forces review of only 1% of all communications

Limited identification scope

### Fails to find critical issues

- Market manipulation: e.g. LIBOR
- Fraudulent actions: e.g. Litvak
- Misuse of confidential information

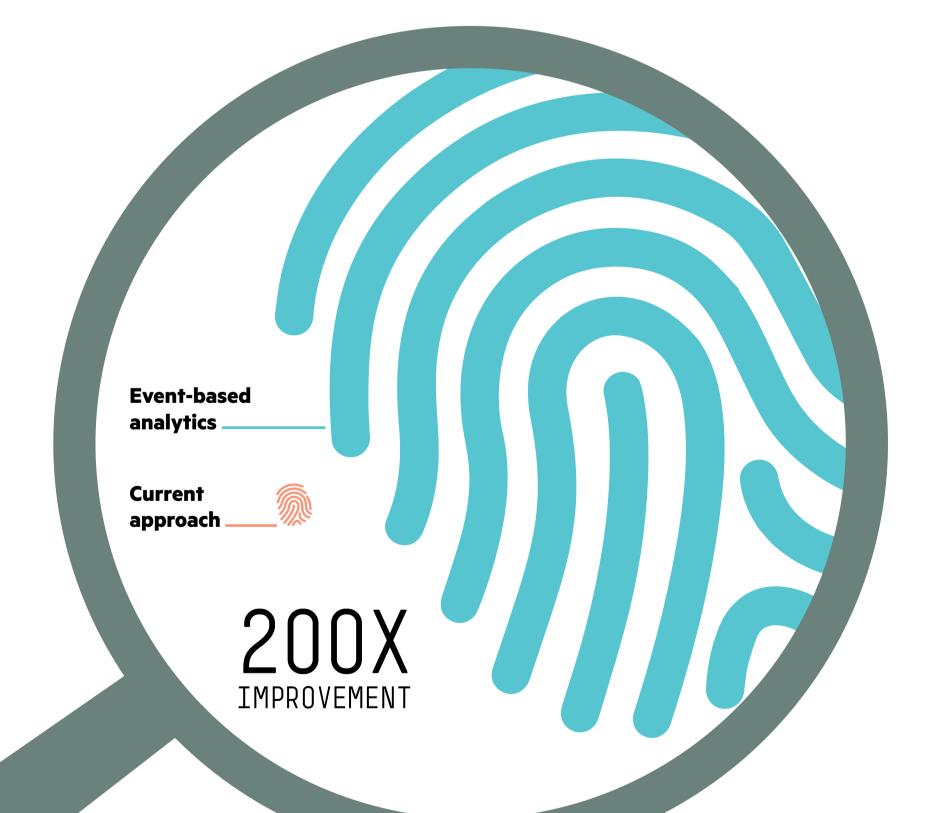
- Customer complaints Trivial employee matters

# Result: 0.03% hit rate

 High level of false positives and irrelevant self-contained content

"...using tools that were really designed to meet the very rudimentary expectations of FINRA...is like scraping away at the bottom of the **pyramid** with **a plastic spoon**." Chief Compliance Officer, Global Investment Bank

### Finding the information that matters



## Making the move to an event-based analytics approach



Search across disparate sources such as communication channels (email, IM, voice), market events, business events, and trade events



Proactively identify the communications that matter based on real world events



Contextually highlight problematic behavior and fraudulent actions

Insider trading Market manipulation **Misrepresentation** 

Anti-trust/competition issues Misuse of client information Rogue employee activities



Result: More than 200X improvement in finding the information that matters



Five ways you can mitigate risk with **HPE Investigative Analytics** 



Leverage advanced analytical techniques to derive deeper insight into business activities, communications, and risk events



Detect patterns, surface anomalies, and identify threats proactively with machine learning algorithms

Interrogate disparate data sources including email, social media, IM, and voice, in addition to market, business, and trade events



Act on contextually aware, real-time compliance alerts to business and market events



Apply powerful, extensible, and cost-effective applications developed with proven surveillance and digital forensics expertise

Learn more: hpe.com/software/investigative-analytics



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