



COMMUNICATIONS SURVEILLANCE

Discover the Power of SteelEye's Advanced Solution,
Trusted by Financial Institutions Across the Globe



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INTRODUCTION

About SteelEye

SteelEye is the industry's pioneering integrated trade and communications surveillance platform, trusted by financial firms across the globe.

- Data-driven approach with comprehensive insights empower clients to focus on what really matters, all within a single user interface.
- Advanced algorithms and AI-driven alerts provide proactive detection of market manipulation and compliance breaches, while also identifying other non-financial risks that may not be on your radar.
- Integrated data model provides unparalleled capabilities for combining trades, orders, comms, news, and market data under a single lens.
- Industry-leading security framework and support model guarantee client satisfaction and success, offering robust protection and a personalized experience at all times.





SOLUTION OVERVIEW

With its intuitive and modern platform, SteelEye provides an efficient and intelligent way to archive and monitor communications and manage alert queues.

The solution stores, monitors, and analyses communications data from any channel and provides advanced algorithms that identify misconduct, collusion, market manipulation, non-financial risk, and data governance breaches. All business communications can be archived according to regulatory retention period.

The platform also integrates AI and other leading technologies to reduce false positives and simplify the alert review workflow.

KEY FEATURES

- ➔ **Comprehensive Channel Coverage**
- ➔ **Advanced Technology**
- ➔ **Intuitive User Interface**
- ➔ **Customizable and Precise Alert Management**



COMPREHENSIVE CHANNEL COVERAGE

SteelEye's fully integrated communications coverage streamlines the surveillance process and eliminates the need for multiple, disparate compliance systems.

Covering All Comms

SteelEye supports any communication channel including voice, chat, email, meetings, and social messaging.

eComms and vComms

SteelEye provides integrated monitoring of all written and spoken communication.

Integrated Communications and Trade Surveillance

Integrate your communications with your trade and order data for reconstruction or supervision.



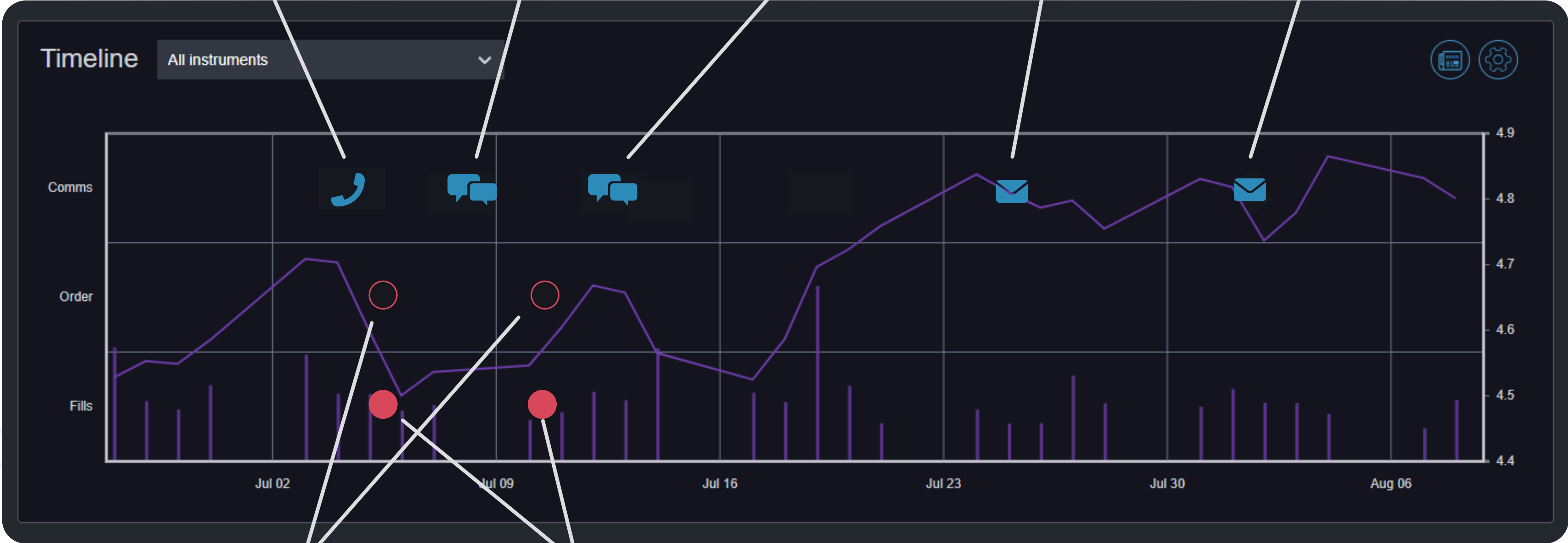
V
Voice call

WhatsApp

B
Bloomberg chat

M
Email

Email

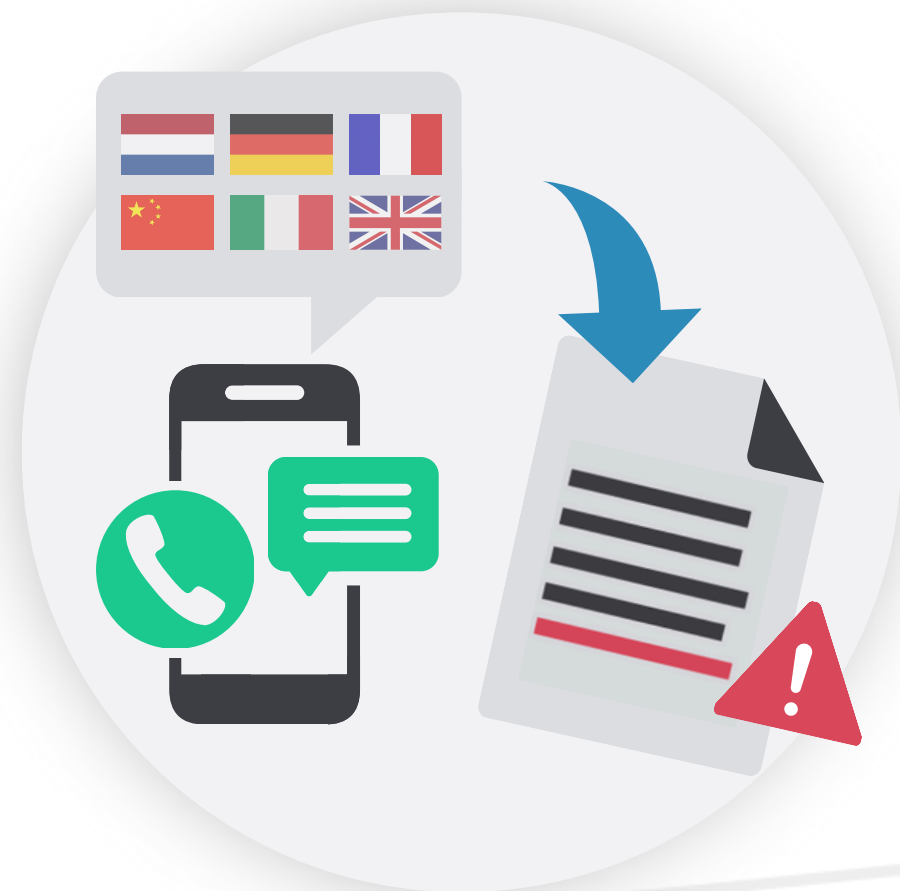


Order

Fill

ADVANCED TECHNOLOGY

SteelEye's advanced communications surveillance solution integrates cutting-edge technologies to streamline the surveillance workflow and process.



75%↓
REDUCTION IN TIME
TO REVIEW AN ALERT

Comprehensive Risk Detection

Don't limit your monitoring to just financial risk. SteelEye gives you the ability to monitor for financial, non-financial, data leakage, and data governance risk.

Languages

SteelEye provides language detection, transcription, translation, and surveillance in 40+ languages, including risk detection for language switching across written and spoken communications.

Compliance CoPilot

Our AI-assistant reduces the communication surveillance alert review process by 75% through intelligent alert scoring, triaging, and workflow automation.

Best of Both Worlds

Experience the best of both worlds with our contextually aware Lexica+ approach with 25,000 triggers per language combined with AI false positive reduction and independent AI detection.

COPILOT

- Score - 8/10
- Resolution Category - Near Miss
- Resolution Subcategory - Acceptable Internal Discussion
- Resolution Comment - The email contains sensitive PNL information, but there is no clear indication of insider information being shared...
- Other Risks - Sharing confidential information with colleagues without proper justification, which could lead to a breach of confidentiality.

LANGUAGE DETECTION

Language 2: English, Spanish

SENTIMENT

Emotions 25% Negative, 25% Neutral, 50% Positive

SteelEye Dashboard | Case Manager | Comms | cSurv | Orders & Trades | tSurv | Best Ex | TR | Market

Dashboard All Insights Reports The Archive

Call from Sam Taylor to Matt Storey - 10 Mar 2020, 17:58:08

ALERT DETAILS [+ Expand](#)

This Call was detected on 3 Nov 2023, 07:48:28 by the watch "Conduct and Ethics"

This Call was detected because the below Neural Risks were detected:

- Score: 9
Data Privacy - Potential Data Privacy Breach
Explanation: Speaker 1 asks Speaker 2 for login details which potentially initiates a data privacy breach.
- Score: 6
Information Handling - Unauthorised Access to Sensitive Information
Explanation: Speaker 1 persuades Speaker 2 to provide login details for a document potentially linked to a financial crime risk assessment, implying unauthorised access.

COPILOT [+ Expand](#)

- Score - 8/10
- Resolution Category - Near Miss
- Resolution Subcategory - Acceptable Internal Discussion
- Resolution Comment - The email contains sensitive PNL information, but there is no clear indication of insider information being shared...
- Other Risks - Sharing confidential information with colleagues without proper justification, which could lead to a breach of confidentiality.

[Resolve](#)

LANGUAGE DETECTION

Language 2: English, Spanish

SENTIMENT

Emotions 25% Negative, 25% Neutral, 50% Positive

CALL DETAILS

Start 10:00:10
End 10:00:20
Duration 10 Seconds
Direction -
Device -
Conference? -
Fault? -
Internal? -
Multi-Channel? -
Connected? -
Source -

CONTENT

Duration - 120 seconds

Information Handling (23 SEC)

Data Privacy

0 SEC 30 SEC 60 SEC

Spanish
English

TRANSCRIPT

Overall confidence - 99%. Speakers - 1, Tokens - 46, Distinct Tokens - 42

Confidence Rate Transcription

Speaker 1 21-12-23 Lorem ipsum dolor sit amet, consectetur adipiscing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua. Ut enim ad minim veniam.

Speaker 2 21-12-23 Lorem ipsum dolor sit amet, consectetur adipiscing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua. Ut enim ad minim veniam.

Speaker 1 21-12-23 Lorem ipsum dolor sit amet, consectetur adipiscing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua. Ut enim ad minim veniam.

Speaker 2 21-12-23 Lorem ipsum dolor sit amet, consectetur adipiscing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua. Ut enim ad minim veniam.

Speaker 1 21-12-23 Lorem ipsum dolor sit amet, consectetur adipiscing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua. Ut enim ad minim veniam.

Speaker 2 21-12-23 Lorem ipsum dolor sit amet, consectetur adipiscing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua. Ut enim ad minim veniam.

Speaker 1 21-12-23 Lorem ipsum dolor sit amet, consectetur adipiscing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua. Ut enim ad minim veniam.

Speaker 2 21-12-23 Lorem ipsum dolor sit amet, consectetur adipiscing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua. Ut enim ad minim veniam.

Speaker 1 21-12-23 Lorem ipsum dolor sit amet, consectetur adipiscing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua. Ut enim ad minim veniam.

Speaker 2 21-12-23 Lorem ipsum dolor sit amet, consectetur adipiscing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua. Ut enim ad minim veniam.

Speaker 1 21-12-23 Lorem ipsum dolor sit amet, consectetur adipiscing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua. Ut enim ad minim veniam.

Speaker 2 21-12-23 Lorem ipsum dolor sit amet, consectetur adipiscing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua. Ut enim ad minim veniam.

SHOW ENTITIES No Yes

SHOW SENTIMENT No Yes

SHOW SUMMARIES No Yes

ENTITIES

Geography London London London

People London London London

INTUITIVE USER INTERFACE

SteelEye's intuitive interface allows for quick and efficient management of the communications surveillance workflow, reducing user frustration and enhancing productivity.



Modern and Intuitive Design

SteelEye facilitates efficient navigation, rule generation, and alert resolution, with in-built alert scoring and triaging.

Designed for Compliance

Built with our clients, for our clients, SteelEye delivers tailored solutions that meet compliance-specific needs.

Assignee	Score
Matt Storey	9
Matt Storey	9
Matt Storey	8
<input checked="" type="checkbox"/> Matt Storey	8
Matt Storey	1

Accelerated Workflow

SteelEye enhances user productivity by streamlining surveillance tasks and making it easy to navigate the platform.

Start Progress + Add to case × Resolve 👤 Reassign an alert 🔍 Audit

“Market Abuse” - 2 alerts resolved in this session, 150 alerts outstanding

SteelEye Dashboard Case Manager Communications cSurv Orders & Trades Positions tSurv Best Ex Best Ex MAR Market TR Data Provenance

Dashboard Watches Alerts 2.5 k Lexica Management Insights Reports Audit

< Back **Unresolved Alert**: Email detected on 9 Jan 2024, 12:00:36 by the watch Inside Information

Analyse with ChatGPT Start Progress Add to case Resolve Reassign an alert Audit

"Inside Information" - 0 alerts resolved in this session, 2505 alerts outstanding

Assignee: Matt Storey Unassign Alert (comms-s37167) Detail

This Chat was detected on 9 Jan 2024, 12:00 by the watch "Inside Information":

This Chat was detected because it contains the (English) term "rumour has it". This was detected in the body of the Email

- It contains the (English) term "about to announce". This was detected in the body of the Email

105|103|1|E|20240103|IT0005500712 10:44:43

Message: Rumour has it tht some big news abt ENRY gonna drop 2day
 Message: Wt u mean?
 Message: A very close friend tells me they about to announce some crazy big numbers.. its gonna

10:02:23 - From: david.griffiths@steel-eye.com, To: raj.rajaratnam@bloomberg.net, Message: fk I need to move
 10:02:24 - From: raj.rajaratnam@bloomberg.net, To: david.griffiths@steel-eye.com, Message: Send ur tik to me i'll b2b it with the retail pool
 10:02:25 - From: david.griffiths@steel-eye.com, To: raj.rajaratnam@bloomberg.net, Message: Coming right ur way for 5844
 10:02:26 - From: david.griffiths@steel-eye.com, To: raj.rajaratnam@bloomberg.net, Message: Appreciate it bud
 10:02:27 - From: raj.rajaratnam@bloomberg.net, To: david.griffiths@steel-eye.com, Message: np you owe me a beer
 10:02:28 - From: david.griffiths@steel-eye.com, To: raj.rajaratnam@bloomberg.net, Message: I owe you 5
 10:02:29 - From: david.griffiths@steel-eye.com, To: raj.rajaratnam@bloomberg.net, Message: doug's gonna love me

This Chat was detected because it contains the (English) term "rumour has it".

- It contains the (English) term "about to announce".

Rumour has it tht some big news abt ENRY gonna drop 2day
 Wt u mean?
 A very close friend tells me they about to announce some crazy big numbers.

SteelEye Dashboard Case Manager Communications cSurv Orders & Trades Positions tSurv Best Ex Best Ex MAR Market TR Data Provenance

Dashboard All Insights Reports Validation Errors

Assignee: Matt Storey Unassign Alert (comms-s194871) Detail

This Call was detected on 22 Feb 2024, 06:00:54 by the watch "Test watch neural"

The Call was detected because the below Neutral Risks were detected:

- Score: 7
 Communication And Misrepresentation - Metaphorical language possibly indicating an attempt to conceal information
 Explanation: In conversations, ambiguities come through metaphorical references like 'pineapple' and 'special delivery' potentially implying an effort to cover up information.
- Score: 6
 Conduct Risk - Possibility of non-compliance
 Explanation: Throughout the conversation, the speakers express worry about 'sailing close to the wind' and being questioned by 'the big guys upstairs', implying a potential breach of compliance rules.

COMMENTS (0)

FROM

From Id alexmagni
 From +Assign2

CONTENT

age possibly indicating an attempt to conceal i. Possibility of non-compliance

9 sec

Duration - 54 sec

TRANSCRIPT

Overall confidence - 100%, Speakers - 2, Tokens - 198, Distinct Tokens - 128

Confidence Rate Transcription ★★★★★

Speaker 1 0s did you catch that special delivery we got on that last trade?

Speaker 2 3s yeah, I heard something about it. What's the deal with that pineapple?

Speaker 1 7s Well, it seems like we might be sailing close to the wind with that 1. Gotta keep it on the DL.

Speaker 2 12s For sure. I'll keep it on the down low. Are we gonna have to send a postcard to the big guys upstairs? It looks risky.

Speaker 1 18s That's the tricky part. We got our hands on some tropical fruit that could land us in hot water if we're not careful.

CUSTOMIZABLE AND PRECISE ALERT MANAGEMENT

SteelEye's highly configurable alert management toolkit, powered by a comprehensive lexicon and AI detection, ensures precise and accurate alerting. This reduces false positives and allows compliance officers to focus on genuine threats.

Highly Configurable

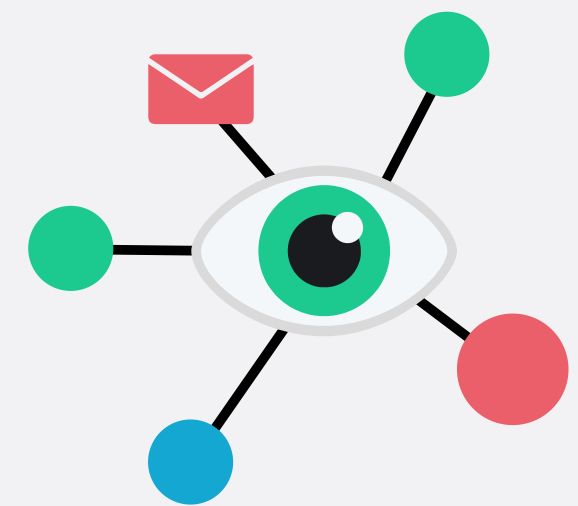
SteelEye embeds the ability to easily tailor alerting criteria to meet specific needs.

Grammatical Exclusions

With SteelEye, you can build rules that distinguish between different contexts in which the same or similar words are used to more accurately alert on risk and reduce false positives.

Full Audit Trail

SteelEye's fully audited case manager allows compliance users to effectively track and monitor work queues, while knowing that each change is recorded and audited.



Create new Watch

Choose either a behavioural, bespoke, or a template watch..

Behaviours

Bespoke

Neural

Templates

SteelEye

Dashboard | Case Manager | Comms | **cSurv** | Orders & Trades | ISurv | Best Ex | TR | Market

Dashboard | **Watches** | Alerts | Lexica Management | Insights | Reports | Audit | Tagger

Behaviours

The SteelEye lexicon contains circa 20,000 terms distinct terms and phrases, and can be curated via Lexica Management.

Before scheduling a new Watch, it's advised to perform a full backtest on your Comms data. Select the lexica policies below and select to 'Run Backtest'

Search Behaviours...

SteelEye Policies | Custom Policies

Select All

Conflict / Complaints (1.2k terms)

Conflict / Complaints (1.2k terms)

Conflict / Complaints (1.2k terms)

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Conflict / Complaints (1.2k terms)

Run Backtest

Click to execute a backtest on all Communications in the SteelEye platform.

Currently the platform contains 11.3m Communication records.

Emails : 1.2m
Chats : 10m
Voice : 100k

SteelEye

Dashboard | Case Manager | Comms | **cSurv** | Orders & Trades | ISurv | Best Ex | TR | Market

Dashboard | **Watches** | Alerts | Lexica Management | Insights | Reports | Audit | Tagger

Behaviour Calibration

You will receive 100 alerts per week (20 per day) with the below configuration.

Behaviour: Conflict / Complaints

Hits	% of Comms	Hits / day
300	1%	15

Actions: Apply Filters | Apply ML | Noise Removal

Filters

Attachments | **Data Source** | Firms | People | Time

Q Data Source

Select All | Exclude All

- Currency Derivatives (1.340)
- Debt Instruments (1.340)
- Equity (1.340)
- Equity Derivatives (1.340)
- Exchange Traded Pr. (1.340)
- Interest Rate Derivs. (1.340)
- Other Instruments (1.340)
- Structured Finance (1.340)

Apply ML

Zoning Classifier

It is recommended you enable both Zoning and Classifier filtering to reduce false positives

For quick configuration, enable defaults below

Remove Marketing / Sales / Daily Digest communications with a designation of >85% confidence score Yes No

Remove Non-Authored content within communications with a designation of >85% confidence score Yes No

Modification Impact

Before	After
Historic comms detected 3,000	Historic comms detected 1,900
Hits per day 20	Hits per day 16

Launch & Schedule the Behaviour.

SCHEDULE

Daily

Weekly, every 1 week, on M T W T F S S @ 06:00 Time Zone Europe/London

Monthly

The first execution will be run on 1-Jan-21 @ 07:23

NOTIFICATIONS

Receive email?

Yes No

Even if there are no alerts

Only if there are alerts

PRIORITY

Low

Medium

High

Watch Settings | **Launch!**

WHY FIRMS SELECT STEELEYE



Data Accessibility

SteelEye's commitment to free and seamless data exports and reporting underscores our belief in our clients having full control and ownership over their data. Clients can export their data anytime without additional costs, and can leverage their data without constraints. SteelEye has a range of built in reporting tools that enable clients to fully utilize their data.



Data Governance & Security

SteelEye's data controls and governance framework is designed to ensure the integrity and completeness of data. The platform provides a comprehensive audit of data receipt and processing, with proactive data governance alerts. This, combined with our detailed security framework, giving you full confidence in your compliance. The platform is both ISO 27001 and SOC 2 compliant.



Flexible & Secure Deployment Options

SteelEye offers cloud-agnostic deployment options, offering support for both public or private cloud deployments. This provides you with the freedom to select the environment that aligns best with your needs. SteelEye's cloud platform also fully complies with cloud compliance standards.



Collaborative Partnership

SteelEye provides round-the-clock support with access to a diverse team of experts across various domains, ensuring quick resolutions and strong service level agreements (SLAs). SteelEye also understands that your requirements may be bespoke and pride ourselves on our agility and collaborative approach when it comes to meeting your specific needs.

VENDOR COMPARISON

Feature	SteelEye	Other Platforms
Interface	Intuitive, modern, efficient	Often laggy, slow, difficult to use, no shortcuts
Alert Management	Customizable, AI-driven, precise	Limited configurability, static lexicons, imprecise
Channel Coverage	Fully integrated, comprehensive	Often fragmented, patchwork systems
Deployment Options	Cloud agnostic, scalable, secure	Sometimes clunky on-premise and non-cloud compliant
Support	Responsive support with quick resolutions	Restricted SLAs, slow resolutions, limited contacts
Data Governance and Control	Full audit of data receipt and processing, with proactive data governance alerts	Limited audit trail, data controls, governance alerts
Data Exports	Free, accessible anytime	Often expensive and difficult to extract and report on
Compliance CoPilot	AI-driven assistant, 75% quicker alert resolution	N/A

STEELEYE HIGHLIGHTS

- **We Care. We Deliver.**

SteelEye combines the robust capabilities and scalable infrastructure of a global leader with the personalized attention of a smaller firm. SteelEye is equipped to tackle any project with confidence and precision while providing clients with world-class customer service.

- **Dedicated Account Manager**

Forget about waiting for days to get a response. With SteelEye, You get a dedicated account manager who is always available to address your queries and concerns promptly.

- **Access to a Team of Experts**

SteelEye's commitment to exceptional service extends beyond just an account manager. When you chooses SteelEye, you gain access to a diverse team of engineers, product managers, and support staff who are ready to help you achieve your goals.

- **Tailored Solutions**

Every client is unique. That is why SteelEye works closely with its clients to understand their specific needs and tailors the solutions accordingly. Whether you require technical assistance or strategic guidance, the SteelEye team always there to provide support.

DON'T JUST TAKE OUR WORD FOR IT

What our clients say

*When Fidelity needed a new trade surveillance tool, we partnered with SteelEye as, coupled with their communications modules, we would be able to access a single holistic view of the investment decision making lifecycle and execution in the markets. This was previously only achievable through multiple systems that didn't talk to each other and would have to be viewed over multiple screens. **SteelEye helps Fidelity connect the dots.***



We selected SteelEye because of the quality of their technology, the regulatory expertise demonstrated by their team and their willingness to support our implementation timelines.

Schroders

Rather than approaching compliance obligations from the perspective of the individual regulations, SteelEye focuses on data and technology first. This gave us comfort that they would meet all of our needs.



We were looking for a vendor that would enable us to proactively manage our regulatory obligations. We also wanted a solution that would allow us to respond to regulatory change quicker. SteelEye was the perfect fit.

CIAM

We were looking for a solution that would allow us to meet our regulatory requirements and consolidate our ever-growing number of supported platforms, communication channels and trade and order systems. SteelEye provided that solution.



With SteelEye, we can meet multiple regulatory requirements within one platform, utilising the same data set, and get enhanced insight into our operations.

DMA

At Kyte Broking, we are committed to delivering exceptional service to our clients while upholding the highest standards of compliance. SteelEye has improved the efficiency of our communication compliance processes.



We took the decision early on to automate as much of our compliance set up as possible. SteelEye enables us to do this, reducing the complexity of what can otherwise be an arduous and painful process.





Turn Supervision into **Super Vision**

With our innovative features and robust functionality, SteelEye enables organizations to meet their surveillance obligations effectively while streamlining compliance processes and enhancing operational efficiency.

Contact Us

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