SOTERIA™
By Insightful Technology

The best line of defence is offence

Empowering silo-free, real-time compliance, surveillance and competitive edge, in a single global and hierarchical view

Fully managed, modular and scalable, Soteria™ is a complementary Platform as a Service solution that compliantly captures, encrypts, stores and surveils all forms of communication and market data, in real-time, in a structured way, and on a global scale. Presenting all information for monitoring and analysis in a single and hierarchical view, Soteria™ drives actionable efficiency across all three lines of defence through its resilient architecture, powerful functionality and customisable controls.

Capture All Forms of Communication & Market Data

Whether electronic, audio, or market data, Soteria™ captures all media in real-time, and securely from the source. Archived data can also be ingested from legacy systems to help consolidate a business's operational architecture.

Global & Regional Regulatory Compliant Platform as a Service

Soteria™ complies with all major financial regulations including SM&CR, MiFID II, GDPR, MAR, and Dodd-Frank, and can also be implemented by other heavily governed market sectors or Command & Control and Customer Service functions.

A Single Global & Hierarchical View of All Data

Common tagging of objects, referred to as 'Normalisation', is applied at capture across all disparate data sets, enabling the creation of a truly single global view of media. Built-in Permission Hierarchy Management allows the control of both individual user, and custom group access to the stored data.

Real-Time Monitoring & Alerting

Set custom detailed parameters across all three lines of defence functions for instantaneous and continuous, or proportionate-based monitoring of system, data and user activity or performance. Real-time alerting notifies users via email or SMS for subsequent review, escalation and reporting, based on the business or individual role requirements.

Complex Search Functions

Reduce the burden of false positives and create accurate, proactive or indeed retrospective search results across all data and system activity, through powerful and fully-customisable Lexicon, Wildcard, Fuzzy Logic or Proximity searches.

Data Reconciliation, Evidential Integrity & Audit

Using a tokenised form of 3rd Party Verification for Non-Repudiation, including Full Data Encryption and a digitally-signed Audit Trail across all objects and system activity, Soteria™ ensures a complete set of tamperproof records for Duty of Care and Evidential Weight.

SOTERIA™
By Insightful Technology

Data Classification & Retention Policy Management

Set rules around fully-structured data sets including 'End of Life' Auto-Deletion and the specification of Legal Jurisdiction. Additionally, Legal Hold Data Protection prevents auto-deletion of objects that have been placed on Legal Hold, should the retention policy covering them expire.

Custom Role-Based Dashboards & Reporting

Data is only as useful as its relevance, presentation and digestibility. Therefore Soteria™ enables departments or individual roles to define custom screens and reports across the platform so you only ever review what you need to. This includes for tasks such as system testing and performance.

Trade Reconstruction & Case Management

Immediate reconstruction and curation of associated data to a specific activity or trade can be accessed in a containerised view by regulators and validated 3rd parties, via a time-lapsed login and password. General cases can be managed by custom tagging of data, and assigning of notes and permissions, when and where required.

End-to-End Process & Workflow

The platform is built with process and workflow at its core, which runs throughout all parts of the system. Automation and Prefill Workflows enable relevant roles or departments to utilise integrated systems for efficiency, and also allocate, escalate and complete processes and requests through to closure, all of which can be tracked and monitored live, or through daily and weekly reporting structures.

Open APIs for 3rd Party Solution Integration

Soteria™ drives operational efficiency and enables a fully centralised view of the business through the integration of custom data types and external systems, including CRM Platforms, Market Abuse Tools and Document Management solutions.

Hosted Cloud, Hybrid & On-Premise Options

Soteria™ offers 'always available and retrievable' silo-free storage options that are highly-secure, resilient, redundant, and fully penetration tested. Our tier 4-secure hosted cloud accommodates private and shared requirements, and Soteria™ is also fully integrated into Microsoft Azure.

Robotic Process Automation & A.I.

Voice-to-Text Transcription and Translation facilitates the proactive monitoring and alerting of audio communications, and also the auto-population of other systems and workflow measures such as CRM platforms, deal tickets, and reports. Know Your Customer information, including authentication, efficiency and sentiment analysis, enables escalation to Management for intervention or resolution.

Security

Soteria™ systems, including cloud architecture, network design and operational procedures, are fully penetration tested and security audited every 6 months by 3rd party assessors. They are additionally penetration tested by several of the largest global banks every few months (reports available upon request). Single Sign-On and SAML 2 is available and Soteria™ also synchronises with Active Directory.