

Compliance Essentials

About NICE

NICE (Nasdaq: NICE) is the worldwide leading provider of both cloud and on-premise enterprise software solutions that empower organizations to make smarter decisions based on advanced analytics of structured and unstructured data. NICE helps organizations of all sizes deliver better customer service, ensure compliance, combat fraud and safeguard citizens. Over 22,000 organizations in more than 150 countries, including over 80 of the Fortune 100 companies, are using NICE solutions.

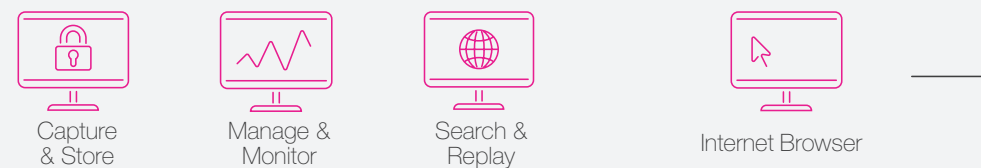
Trading Floor Recording

Today's strict regulatory environment has profound effects on the systems and processes that support the Trading Floor. To meet the growing compliance challenges, the NICE Compliance Essential enables Trading Floors to ensure regulatory compliance across the globe, improve business-process efficiency and minimize total cost of ownership (TCO).

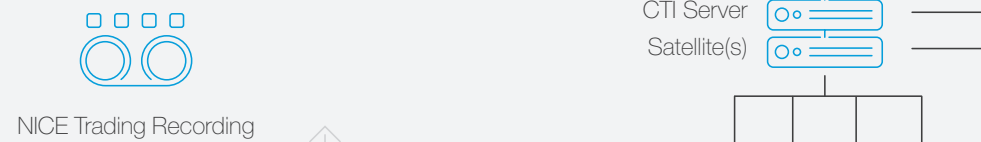
To comply with new regulations, initiatives and policies globally, the Voice Management solutions from NICE empower you to adhere to new requirements such as:

- All trade communication must be recorded
- Information must be accessible and formatted in a digestible form
- A timeliness response to compliance queries

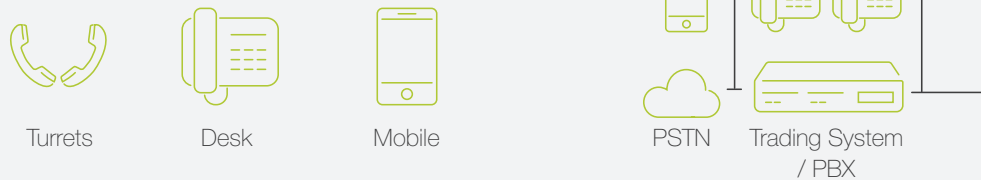
Applications



Recording Platform



Connectivity



NICE Financial Markets Compliance is a significant line of business within the NICE portfolio. NICE is the leader in this market, serving the largest financial services organizations globally. NICE's Communication Compliance solutions respond to an increasing demand in the financial services market, where regulatory compliance is on the rise. NICE is focused on this market and is constantly developing innovative and patented solutions. Together with the Actimize portfolio, NICE has an unmatched presence in this domain.

Capture & Store

Most trades are done over the phone. Capturing these calls is the heart of every compliance system. Every call related to a trade should be captured, whether they are done on the Trading Floor, in the Back Office or on a Mobile Device. NICE has full interoperability with all major front-office Trading Systems and back-office PBX Systems.

Maintain & Monitor

For the utmost reliability, the NICE solutions ensure that all elements of the capture system can be installed redundant, to protect against possible operational failures. In combination with the ability to monitor and review the operation of the complete solution, any issues that may affect the performance or operation will be found quickly.

Search & Replay

NICE Trading Replay Authorization is designed to ensure replay of calls without sacrificing efficiency or compliance. It provides a secure and flexible replay approval process via an intuitive web based portal. With its customizable configuration, existing processes can be replicated in the systems simple, automated workflow.

Comprehensive

NICE Trading Recording (NTR) combines trading-floor and back-office recording to create the most comprehensive Compliance focused recording platform. Combining innovative software and industry-standard hardware, NICE Recording solutions empowers trading floors to actively record and monitor interactions, and adhere to global regulatory requirements.

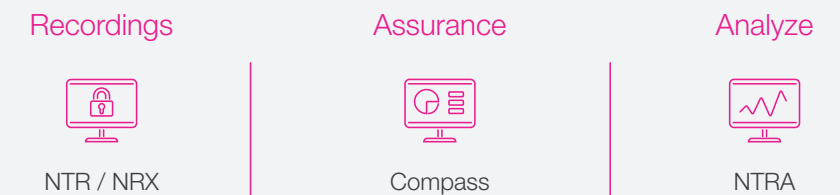
Secure

Fail-safe data storage is a key regulatory requirement. NICE Trading Recording provides the highest level of secure storage, using 256-bit Rijndael AES audio encryption, coupled with MD5 fingerprinting to secure all audio files against unauthorized alteration or editing. Managed retention and litigation hold can be set for all storage media.

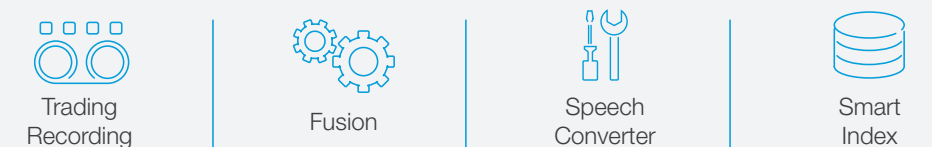
Solutions



Applications



Infrastructure



Unique Add-On Compliance Applications

- Fusion - for combining NTR systems into one central administration and playback portal
- Compass - for Compliance Assurance
- NTRA - Trader Replay Authorization process with dynamic workflows for handling replay requests