

Communication Surveillance

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

Take Compliance Control

The challenges of trading compliance are further complicated by new regulation and new methods of communication. The Traders use many new methods of communication; not just the traditional phone, but also mobile phones, email, instant messaging and social media. How do you ensure that you are monitoring all communication channels effectively?

Communication Surveillance from NICE provides the ability to take complete control over your Trading Floor communications, and pro actively detect breaches of compliance rules or fraud. It also provides analysis and reports on new and emerging risks by creating management overviews and highlights trends. By automatically presenting indicators for potential risks, protection against compliance breaching and fraud is optimized, while maximizing ROI.

Regulatory Requirements

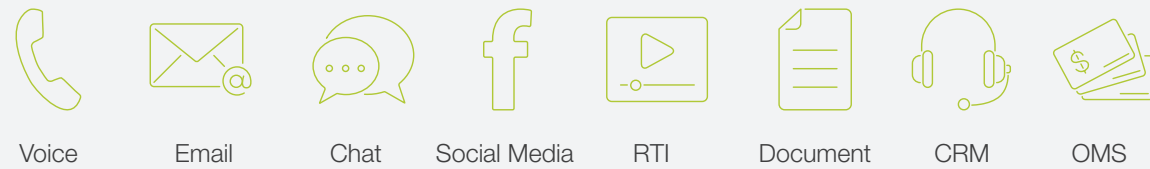
Many new regulations have these similar new regulatory requirements:

- All relevant communication must be captured.
- Ability to reconstruct trades as they occurred.
- All communication must be monitored by the same rules.

Communication Surveillance from NICE provides the ability to re-construct trade communications as they happen link them to transactions and enable a search through every type of related interaction including voice, instant messaging, text and email. By pro actively monitoring all communications, you can prove your ability to be in compliance and reduce costs of manual processes and recourses to meet all regulatory requirements.

Aggregate → Analyze → Control

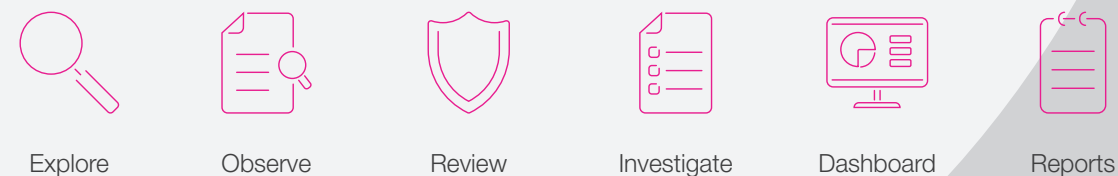
All Communications



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Supervision



Benefits Of A Proactive Approach

- Maximize protection by monitoring all communication and presenting indicators for potential risks.
- Decrease penalties by implementing an automated risk management solution.
- Reduce costs and exposure resources by empowering compliance officers with automated capabilities.



Supervision

The Supervision module offers configurable review queues with all communications that reviewers are responsible to review.

Investigate

The Investigate module enables compliance teams to look at data with configurable widgets which enables users to gain more insight into the communications, and to start investigations based on trade reconstructions.

Reporting

The Reporting module enables users to receive scheduled reports to detail number of interactions that have been ingested and the potential policy breaches which have been found.