

NICE[®]



COMMUNICATION SURVEILLANCE



TABLE OF CONTENTS



THE CHALLENGES

- Changing Regulations Globally
- Business Challenges for Compliance Teams

THE SOLUTION

- One Solution for all Teams 5
- One Solution for Monitoring all Communications 6

THE APPROACH

- Complete Process for Surveillance 7
- The NICE Approach to Surveillance 8

SUMMARY

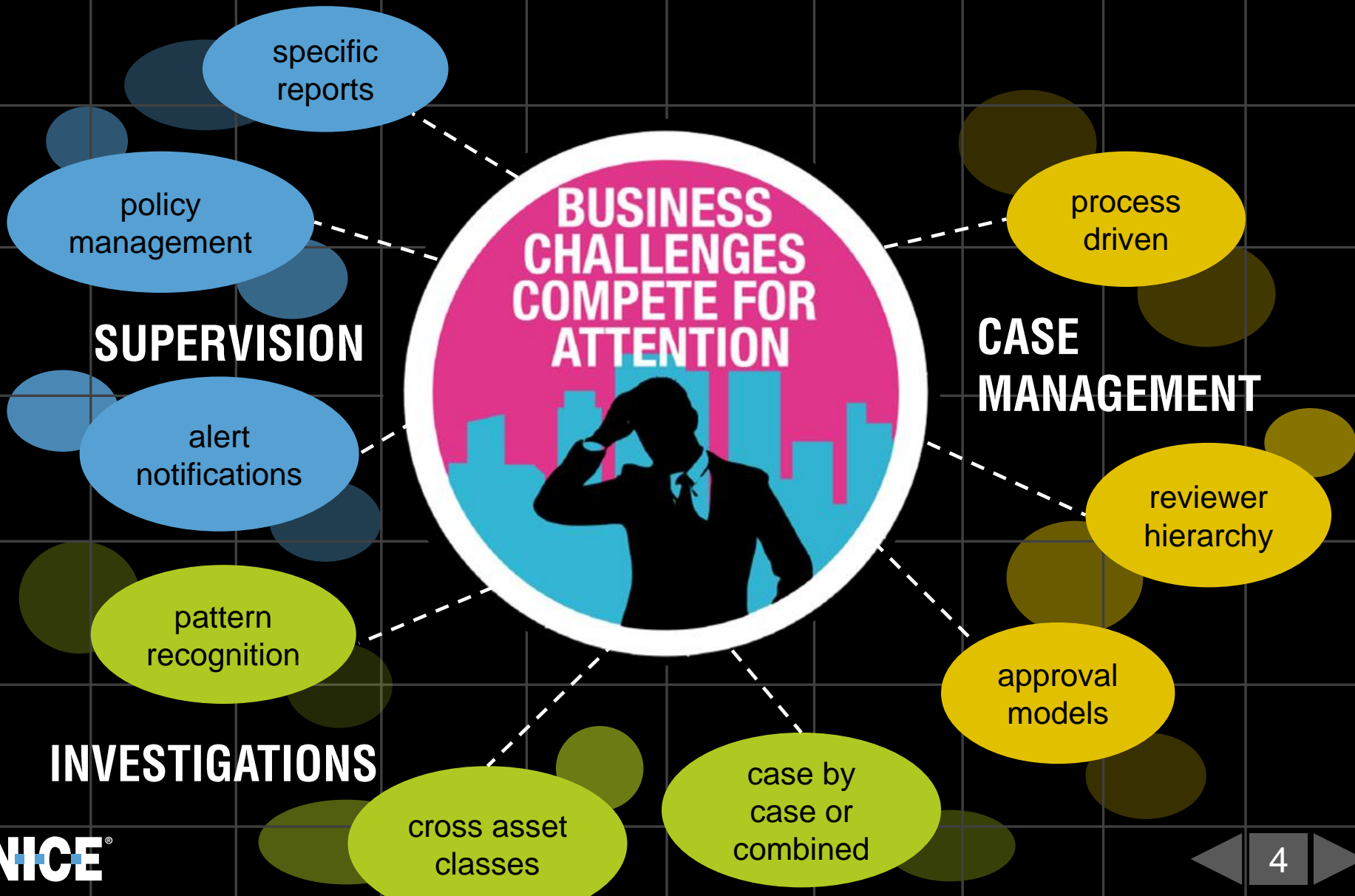
- Beat the Compliance Challenges 9

CHANGING REGULATION GLOBALLY



FIRMS MUST MONITOR ALL THE RECORDS THEY COLLECT, VOICE & TEXT, SO THAT THEY CAN ENSURE COMPLIANCE WITH THE NEW GLOBAL REGULATORY REQUIREMENTS

BUSINESS CHALLENGES FOR COMPLIANCE TEAMS



ONE SOLUTION FOR MONITORING ALL COMMUNICATIONS FOR ALL YOUR TEAMS



SUPERVISION

Detect compliance breaches based on any communications

INVESTIGATION

Thorough investigations with trade reconstruction based on all communications

NICE COMMUNICATION SURVEILLANCE



**ONE SEARCH TOOL FOR
ALL INTERACTION TYPES**

**ONE MONITORING TOOL
FOR ALL COMMUNICATIONS**

**ONE RECONSTRUCTION
TOOL FOR ALL ASSET
CLASSES**

COMPLETE PROCESS FOR SURVEILLANCE

Automatic monitoring all communications will add alert labels to suspicious interactions



Reviewing alerts confirms compliance issues and scenario for investigation is started



Investigation based on automatic trade reconstruction can start official Risk Case



THE NICE APPROACH FOR SURVEILLANCE

AGGREGATE

Connect to all communication vaults

ANALYZE

Index and analyze all interactions

CONTROL

Review alerts and start investigations

Aggregate

Analyze

Control

ALL COMMUNICATIONS



Voice



Email



Chat



Social Media



RTI



Documents



CRM



OMS

INDEX



Ingestion
Linguistics



Universal Index

ANALYZE



Analytics



Risk Scoring

SUPERVISION



Explore



Review



Investigate



Dashboard




Reports

INVESTIGATE

NICE COMMUNICATION SURVEILLANCE



**MAXIMIZE
PROTECTION**



**DECREASE
PENALTIES**



**REDUCE
COSTS &
EXPOSURE**



FINANCIAL MARKETS COMPLIANCE

NICE Financial Markets Compliance (FMC) 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 FMC solutions respond to an increasing demand in the financial services market, where regulatory compliance is on the rise. NICE is focused on the communication compliance market and has together with NICE Actimize an unmatched presence in this domain.



[nice.com/trading-compliance](https://www.nice.com/trading-compliance)



fmc@nice.com



[@tradingfloors](https://twitter.com/tradingfloors)

