



NICE COMPASS

Complete Compliance Assurance
for Financial Transactions

NICE · COMPASS

Complete Compliance Assurance

Recording programs are a minefield of operational and regulatory risks. The latest regulations, including MiFID II, MAR, and Dodd-Frank expand the scope of monitored personnel, asset classes, communication channels and devices, as well as evidence retention requirements. As regulations stiffen the demands for performance monitoring and proof of compliance, firms are replacing complex, costly, and inefficient manual processes with technology.

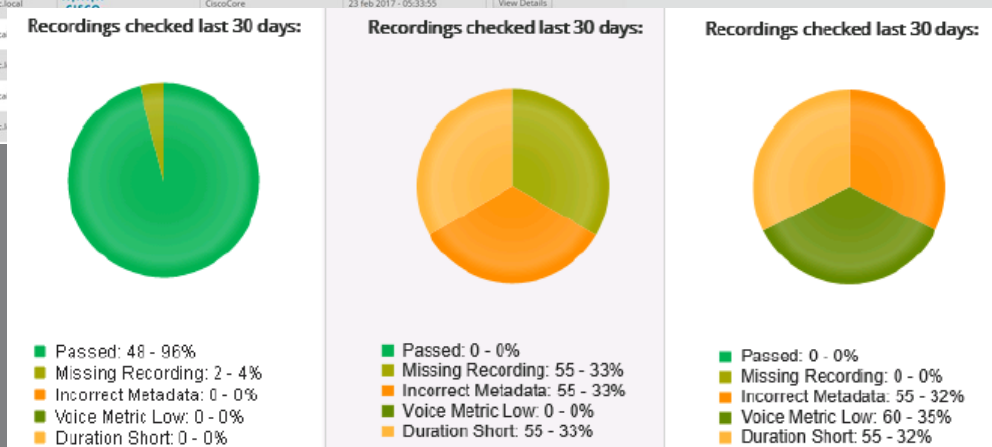
NICE COMPASS is a complete solution that facilitates the automation of compliance assurance. By providing rigorous monitoring and testing of endpoints, firms can proactively identify unrecorded users and calls reducing the risk of a regulatory audit. Using automation, users can efficiently manage increasing litigation hold requests, set retention periods for all regions and lines of business, and configure moves, adds and changes (MAC). By leveraging NICE Trading Recording (NTR), implementation of NICE COMPASS is quick and easy with minimal disruption.

The understanding of a regulated users' communication activities is key to a firm's ability to meet the stringent regulatory demands. NICE COMPASS helps firms achieve an operating environment that protects customers and the firm's reputation more efficiently.

Last check results: 📱 Devices tested: 4 ✅ Tests passed: 5
▶ Tests in last run: 10 ❌ Tests failed: 5

Status	Device Name	Extension / URI	Type	Recorder	Last Test Run	Details
▶	emeauser5	emeauser5@lync.local		EMEACore	23 Feb 2017 - 05:33:55	View Details
▶	Cisco5015	+43991235015@lync.local		CiscoCore	23 Feb 2017 - 05:33:55	View Details
▶	emeauser3	emeauser3@lync.local		EMEACore	23 Feb 2017 - 05:33:55	View Details
▶	Cisco5016	+43991235016@lync.local		CiscoCore	23 Feb 2017 - 05:33:55	View Details
▶	emeauser5	emeauser5@lync.local		EMEACore	23 Feb 2017 - 05:33:55	View Details
▶	Cisco5015	+43991235015@lync.local		CiscoCore	23 Feb 2017 - 05:33:55	View Details
▶	emeauser3	emeauser3@lync.local		EMEACore	23 Feb 2017 - 05:33:55	View Details
▶	Cisco5016	+43991235016@lync.local		CiscoCore	23 Feb 2017 - 05:33:55	View Details
▶	emeauser5	emeauser5@lync.local		EMEACore	23 Feb 2017 - 05:33:55	View Details
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▶	Cisco5016	+43991235016@lync.local		CiscoCore	23 Feb 2017 - 05:33:55	View Details

NICE COMPASS
Recording Check



Take control of your recording program and comply with regulations and increase efficiency

Verify All Endpoints are Connected and Recording Prior to Start of Trading Day

Proactively Identify Unrecorded Calls

Save Time Managing Litigation Holds and Call Extractions

Automate Moves, Adds and Changes

NICE COMPASS does what can't be done manually – It verifies that every user endpoint is connected and recording. This reduces the risk of being fined for not recording all required calls. In one automated process, COMPASS initiates a test call from each user endpoint that gets recorded. It then verifies that the call is captured in the NTR and NICE COMPASS databases. The results, including any failed recording checks, are displayed in the NICE COMPASS dashboard. NICE COMPASS also confirms the call quality, meta data, and users.

Voice recording is not always perfect. Sometimes calls that should be recorded during the trading day are not recorded. With NICE COMPASS, firms know immediately when this happens. NICE COMPASS enables a proactive approach in which firms can report the issue to regulators immediately and minimize the impact. NICE COMPASS also demonstrates to regulators and internal auditors that firms have a robust program to ensure that all the calls required to be recorded are captured.

Requests for recordings of calls and litigation holds to support investigations have exploded over the last few years. Selecting the requested records one at a time is inefficient and time consuming. NICE COMPASS solves this problem. It enables FSOs to create rules that automatically puts litigation holds on hundreds of calls all at once and automates the call extraction process. Extracted calls can be bulk downloaded, enabling firms to respond quickly to requests for calls by regulators and internal auditors.

The integrity of recording programs depends on effectively managing the continual flow of new hires, departures, promotions and moves to other lines of business. The wrong configuration or not on-boarding individuals in a timely manner can result in missing recordings and regulatory violations. NICE COMPASS reduces regulatory risk and operating costs by automating MACs. NICE COMPASS ensures end users are correctly configured by programmatically managing whom should be recorded, their retention period and permissions. Firms can even upload their “Golden Source” of individuals to be recorded into NICE COMPASS.

The screenshot displays the NICE COMPASS interface. On the left is a 'Filters' sidebar with various search criteria like 'Users', 'Time Period', and 'Litigation Hold'. The main area shows a list of call records with columns for 'Name', 'Reason', 'Active', 'Put all on hold', 'Users', 'Groups', 'Start date', and 'End date'. A red box highlights 'Hold' and 'Export' buttons above the list. Below the list is a table for bulk actions.

Name	Reason	Active	Put all on hold	Users	Groups	Start date	End date
Trader Hold 2016501	Suspect Fraud	<input type="checkbox"/>	<input type="checkbox"/>	1 user	0 groups	1/25/2016	
		<input type="checkbox"/>	<input type="checkbox"/>			3/10/2016	

NICE COMPASS Bulk Download

Investigations Made Easy

Leverage Report Data to Optimize Recording Programs

NICE COMPASS' reports provide actionable insights to better manage capacity, optimize resources and reduce costs. Firms can review users being recorded, calls on litigation hold, calls aging off the system, archiving statistics, channel utilization and more. NICE COMPASS provides for the easy export of data to Excel or CSV for further analysis or integration with internal reporting programs. The reports also document the firm's adherence to its recording program.

Centrally Manage Retention Policies Across Regions and Lines of Business

NICE COMPASS helps firms minimize the risk of a regulatory violation by centrally managing retention periods applicable to a line of business or regulatory jurisdiction. Firms can further minimize risk by ensuring calls are retained only as long as required. Retention can be controlled with granular business rules applied to historic and future data. Parallel retention rules control storage of different asset classes per varying global and regional regulations as applicable to different lines of business and user groups – all managed within the same system.

Bulk Search and Replay All Content Across the Enterprise

Retrieve and replay audio from all NTR records with the click of a mouse from a centralized portal. One central HTML5 based portal for replay and extraction of recordings from all communication channels, analysis via dashboards and reports, and interface for system and user administration.

Future-Proof Your Compliance Investment

Reduce Total Cost of Compliance

Reduce investment risk and operational complexity – NICE COMPASS is the only flexible, adaptable platform to deliver unified recording of all current and future communication modalities, mixing trading, front-office, mobile, back-office and Unified Communications recording in the same platform.

Reduce Expenses of Investigations

Speed up repetitive, time-consuming tasks involved in system administration and responses to compliance investigation requests. Leverage data to help manage capacity, optimize resources and reduce cost.

Gain the Assurance of Long-term

NICE is a global organization with extensive R&D fully dedicated to financial trading compliance, providing unparalleled support structure and partnerships.

Reconciliation

Home > Reconciliation

Search

RECONCILIATION METRIC	COMPASS USER	INTERACTION ID DISTINCT COUNT DEVIATION	AUDIO DURATION DEVIATION	START-TO-END CALL DURATION DEVIATION	MISSING INTERACTIONS
	Marcelo Vieira	-5.23%	-10.50%	-5.23%	6
	Luka Modric	-5.23%	-10.50%	-5.23%	6
	Marcelo Vieira	-5.23%	-10.50%	-5.23%	
	Luka Modric	-5.23%	-10.50%	-5.23%	
	Marcelo Vieira	-5.23%	-10.50%	-5.23%	
	Luka Modric	-5.23%	-10.50%	-5.23%	
	Marcelo Vieira	-5.23%	-10.50%	-5.23%	
	Luka Modric	-5.23%	-10.50%	-5.23%	
	Marcelo Vieira	-5.23%	-10.50%	-5.23%	

NICE COMPASS
Reconciliation

Compliance Report - Interaction count

Generated On: 2/19/2018 11:39:04 AM UTC
Report Period: Last week (From 2/11/2018 12:00:00 AM to 2/18/2018 12:00:00 AM UTC)

Compass Username	Compass First Name	Compass Last Name	Recorder Name	Cluster Type	Node Name	Recorder Computer Name	Recorder IP Address	Recorder User ID	Recd
scurry	Stephen	Curry	Cisco CSR	Active	Cisco CSRNode	ESS-RTS-CIS-1.compass.local	10.57.238.100	109	AutoJS
kdurant	Kevin	Durant	Cisco CSR	Active	Cisco CSRNode	ESS-RTS-CIS-1.compass.local	10.57.238.100	110	AutoJS
kirving	Kyrie	Irving	Cisco CSR	Active	Cisco CSRNode	ESS-RTS-CIS-1.compass.local	10.57.238.100	111	AutoJS

Seamless Integration Into Your Workflow and Infrastructure

Proven, Consolidated Capture Process

- Certified SIP trading systems integration
- Certified PBX integration
- Certified UC integration
- Mobile recording
- Support for latest cloud communications platforms

Outside Party Notifications

- Announcement service provides client notification that calls are recorded.
- Announcement server is available for Cisco, Avaya and Skype for Business.

Single Platform Records and Monitors all Communication Channels



Robust Technology Platform You Can Rely On

High Reliability

NICE COMPASS offers multiple redundancy options to protect trade communication data for extended periods of time: high availability, geo-resilience, 2N and N+1 redundancy, data backup and replication.

Comprehensive Security

NICE COMPASS manages user access with defined security roles, full activity audits, TLS CA and Self-Signed Certificates. AES 256 content encryption and SSL communication links protect data and media in transit and at rest. MD5 Fingerprinting provides tamper proofing controls.

Efficient, Adaptable

Upgrade & backwards compatibility, HTML5 for universal web browser access, centralized licensing, cloud archiving, enterprise database, business continuity and disaster recovery support with multiple datacenters, Windows 2016 OS, virtualization.

Retrieve

Synchronize

Share



NICE Financial Communications Compliance

NICE is the world's leading financial trading communications compliance solution provider, serving more than 90% of the largest financial services organizations globally. NICE's Communication Compliance and NICE Actimize's Holistic Trade Surveillance solutions help banks reliably capture and analyze omnichannel communications to ensure compliance with increasing regulatory requirements including MiFID II, MAR, Dodd-Frank and future directives.

Learn more at www.nice.com/compliance

About NICE

NICE (NASDAQ: NICE) is the worldwide leader of software solutions that deliver strategic insights by capturing and analyzing mass quantities of structured and unstructured data in real time from multiple sources, including, phone calls, mobile apps, emails, chat, social media, and video. NICE solutions enable organizations to take the Next-Best-Action to improve customer experience and business results, ensure compliance, fight financial crime, and safeguard people and assets. NICE solutions are used by over 25,000 organizations in more than 150 countries, including over 80 of the Fortune 100 companies.

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