

Trader Replay Authorization

Efficient & Compliant Replay of Trading Recordings



AUTOMATED PROCESS

NICE Trader Replay Authorization (NTRA) is designed to convert the complete process from requesting a call for playback, up to the approval process into an easy workflow. The NTRA application replaces the standard Search & Replay of NICE Trading Recording (NTR).

FLEXIBLE WORKFLOW

The flexible workflow setup ensures that the application fits every organization, no matter how complex the authorization process is. With dynamic links to the company's LDAP, the organization hierarchy can be retrieved automatically. There are many approval and playback options to fit current processes.

NICE Trader Replay Authorization provides a secure and flexible replay approval process via one intuitive web-based portal. From this portal requests for playback can be started, followed and approved. And with its customizable configuration setup, all existing processes can be replicated in the system's simple, automated workflow.

Request

- Trader Searches
- One Click Preview
- One Click to Request

Approve

- Notification Received
- One Click Approval
- Each Request Audited

Replay

- Notification Received
- One click Replay
- Each Replay Audited

WHY NICE TRADING RECORDING

Compliance recording and interaction analytics provide financial firms a robust, mission-critical technology platform to address:

- **Regulatory compliance** - Automated call recording helping organizations retain records of all customer interactions in compliance with external regulations and internal policies.
- **Dispute management** - Sophisticated search, retrieval and call replay capabilities help resolve customer disputes quickly and cost-effectively.
- **Compliance investigation** - Interaction analytics, speech analytics, real-time monitoring to flag and analyze potentially risk calls, alert compliance officers and customize investigation policies to comply with regulations.
- **Call playback authorization** - A flexible, auditable workflow process for replaying call recordings in trading floor environments enabling companies to comply with strict security requirements while still providing fast access to recorded calls.

REQUIRED FOR COMPLIANCE

Today's strict regulatory environment has profound effects on the systems and processes that power the trading floor. Changes in legislative and technical environments and the recent economic downturn are forcing financial institutions to develop new strategies to improve operations, reduce costs and support business and service enhancements. NICE Trader Replay Authorization complies with these new regulations.



NICE Trader Replay Authorization (NTRA) offers one intuitive user interface that allows a trader to search for calls (with preview) and creating a request for replay, and for the approvers to track pending replay requests and approve requests with one click. All actions, from traders and approvers, are logged in an audit trail.

Calls

From * 27/03/2011 To * 04/04/2012 Search on user name... Go

Call id	Start date	Duration	User name	Number information	Dialed digits
2815892	20/11/2011 15:34:41	00:00:57	trader1	8587 -> 8263	1817
2815808	19/11/2011 10:28:13	00:01:48	trader1	14432323930	5117
2815655	19/11/2011 08:57:34	00:00:55	trader1	8587 -> 5117	1817
2815523	19/11/2011 08:09:02	00:00:33	trader1	9153347275	8542
2809616	19/11/2011 07:47:02	00:00:33	trader1	9153347275	8542
2815349	19/11/2011 06:41:02	00:00:33	trader1	9153347275	8542
2814983	18/11/2011 01:01:09	00:01:10	trader1	8587 -> 5117	1817
2814823	18/11/2011 00:13:02	00:00:33	trader1	9153347275	8542
2814518	17/11/2011 23:08:42	00:01:38	trader1	8542 -> 1584	8542
2809277	17/11/2011 22:57:03	00:00:44	trader1	7182334341	8542
2814384	17/11/2011 22:36:41	00:00:57	trader1	8587 -> 8263	1817
2814371	17/11/2011 22:35:03	00:00:44	trader1	7182334341	8542
2809185	17/11/2011 22:02:42	00:01:38	trader1	8542 -> 1584	8542
2814098	17/11/2011 21:21:34	00:00:55	trader1	8587 -> 5117	1817
2813777	16/11/2011 17:05:09	00:01:10	trader1	8587 -> 5117	1817
2808296	16/11/2011 15:11:02	00:00:33	trader1	9153347275	8542
2813362	16/11/2011 14:53:09	00:01:10	trader1	8587 -> 5117	1817
2808735	16/11/2011 14:49:02	00:00:33	trader1	9153347275	8542
2808680	16/11/2011 14:31:09	00:01:10	trader1	8587 -> 5117	1817
2813225	16/11/2011 14:27:02	00:00:33	trader1	9153347275	8542
2813201	16/11/2011 14:18:41	00:00:57	trader1	8587 -> 8263	1817
2808598	16/11/2011 14:01:10	00:00:39	trader1	18145434352	8393
2804897	16/11/2011 13:55:03	00:00:44	trader1	7182334341	8542
2813038	16/11/2011 13:44:42	00:01:38	trader1	8542 -> 1584	8542

Displaying items 1 - 100 of 391

Playing preview of call 2814518 of trader1

00:00 00:32 01:05 01:38

Preview

User name: trader1 Target: 8542
 Number informa...: 8542 -> 1584 CallID: 1588
 Dialed digits: 8542 Lastcause: 22-EC_NE...
 Direction: Outgoing CallingP...: 8542
 Litigation hold: False CalledP...: 1584
 Requested: 0 Ringing...: 8587
 Last requested: 0 Answer...: 8587
 Approved: 0 ACDQu...: 1010
 CallIDLI...: 000010473...

Logged in: trader1 NICE

New Request

Request type *
Compliance replay approval

Reason *
Trade dispute

Comment *
Calls are part of a trade dispute with abc

Requested calls

- Call 2813777 - 16/11/2011 09:05 trader1
- Call 2808735 - 16/11/2011 06:49 trader1
- Call 2814518 - 17/11/2011 15:08 trader1
- Call 2815655 - 19/11/2011 00:57 trader1

Clear Send

ABOUT NICE

NICE Systems (NASDAQ: NICE), is the worldwide leader of intent-based solutions that capture and analyse interactions and transactions, realise intent, and extract and leverage insights to deliver impact in real time. Driven by cross-channel and multi-sensor analytics, NICE solutions enable organisations to improve business performance, increase operational efficiency, prevent financial crime, ensure compliance, and enhance safety and security. NICE serves over 25,000 organisations in the enterprise and security sectors, representing a variety of sizes and industries in more than 150 countries, and including over 80 of the Fortune 100 companies.

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