



NICE to Provide Holistic Surveillance Guidance for MiFID II Regulatory Compliance at A-Team Group's RegTech Summit for Capital Markets

With MiFID II looming quickly, NICE focuses on preparing buy-side trading firms on the communications surveillance technologies and the 'complete compliance' approach necessary to support MiFID II regulations

HOBOKEN, NJ – October 2, 2017 – NICE is launching a series of guidance sessions and educational technology demonstrations ahead of the upcoming transition to the revised [Markets in Financial Instruments Directive](#), known as MiFID II. NICE will launch its guidance sessions at two RegTech Summits for Capital Markets, organized by A-Team Group, to be held in London on October 5 and New York City on November 5 titled "MiFID II – The Regulatory Overview." Attendees may visit the NICE booth located in the sponsors' section of the exhibition.

NICE, in support of the new MiFID II regulations, is focused on providing global financial institutions the best practices, strategies and knowledge of the benefits and advancements in holistic surveillance technologies. Armed with this expertise, NICE will participate in a series of panel discussions to be conducted at each of the events titled, "Building the right toolbox for your surveillance activities." Cromwell Fraser, Vice President, Financial Markets Compliance, NICE, who is a trading floor communication surveillance subject matter expert with extensive experience introducing complex compliance solutions into the banking, technology, consulting and government sectors will represent NICE at these event panel discussions.

Chris Wooten, Executive Vice President, NICE

"With the deadline for MiFIDII compliance looming, now is the time to plan and execute a targeted holistic surveillance strategy for your financial services organization. Today's regulators expect a predictive, preventative approach to compliance. At the same time, compliance officers are challenged by requirements to "connect the dots" between suspicious trades, eCommunications, and voice interactions. But beyond execution, the focus of these latest regulations is now on intent, where even the intent to manipulate is a violation. Our suite of compliance solutions, including NICE Compass, will support the requirements for complete compliance."

The A-Team Group's RegTech Summit brings together the community of practitioners managing regulatory change and implementing RegTech solutions. The forums were designed to discuss the strategies, systems and working practices necessary to comply with the changing regulatory environment.

NICE COMPASS, a new solution from NICE which will be highlighted at the events, minimizes the burden of growing financial communication regulatory requirements by helping financial institutions automate the compliance assurance process and by providing comprehensive evidence of compliance around the requirement to record employees that have information associated with a trade.

Demonstrations of the latest in trade surveillance technology will be shown at the NICE booth at the events, and will also include demos of the recently launched NICE COMPASS.

About NICE

NICE is the worldwide leading provider of both cloud and on-premises 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 25,000 organizations in more than 150 countries, including over 85 of the Fortune 100 companies, are using NICE solutions. www.nice.com.

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