



**NICE Actimize**

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**COMPLIANCENTRAL**

The First End-to-End Communication & Trade Compliance Solution Platform

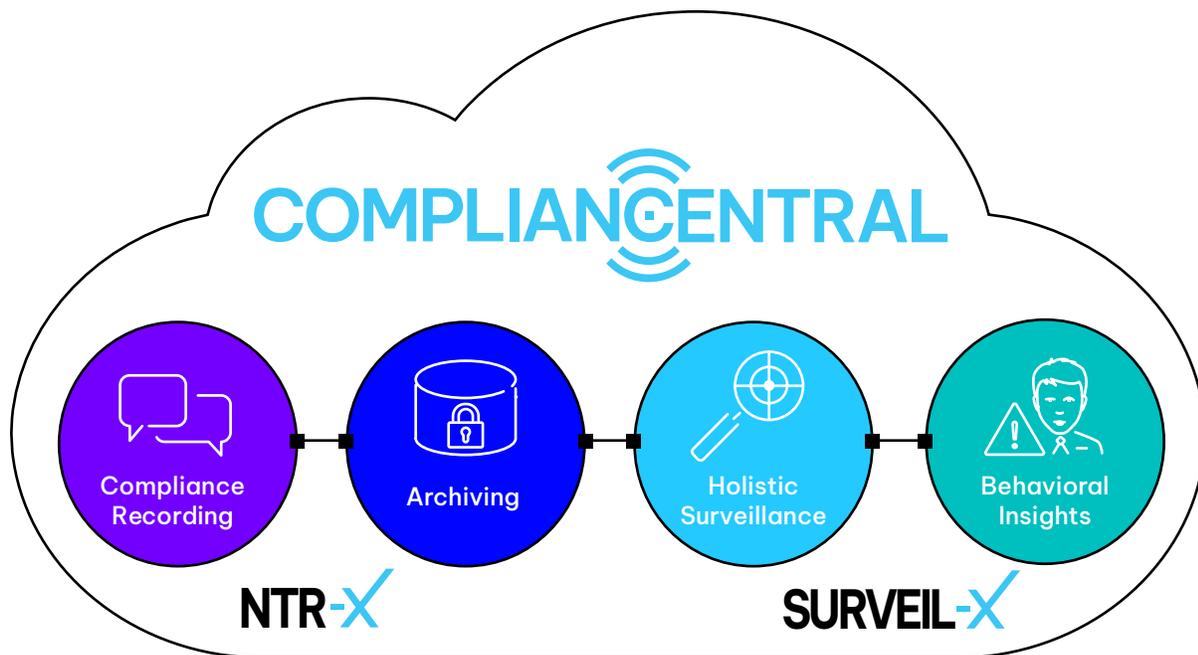
# Trust Depends On It

In financial services compliance, trust is at the heart of everything you do. Market integrity and your firm's reputation depend on trust. Maintaining that trust depends on you.

The problem is – risks can be hidden anywhere. Misconduct can lurk beneath the surface, in growing trade volumes, in millions of daily calls, emails, and instant messages, and in new communication channels used for hybrid work. Finding risks in this sea of data is challenging.

With trust on the line, the fallout to your reputation and bottom line can be substantial. This is precisely where **Compliancentral** can help.

As the only end-to-end communication and trade compliance platform available today, **Compliancentral** can help your firm reduce the risk of fines and reputational damage. By shining the spotlight on misconduct, **Compliancentral** helps you know more so you can risk less.



**Compliancentral** is comprised of four integrated solutions:

-  **Compliance Recording** – Capture all communications across all modalities
-  **Archiving** – Retain all communications in a centralized platform
-  **Holistic Surveillance** – Proactively detect all types of misconduct
-  **Behavioral Insights** – Uncover hidden behavioral risks

## Compliance Recording



### Capture All Communications Across All Modalities

Across your global enterprise, regulated employees are adopting new ways of communicating, beyond turrets and desktop phones. **Compliancentral** provides:

- One platform to record and manage all communications.
- Adaptable platform to keep up with the different ways your regulated employees communicate.
- Flexible recording for platforms like Microsoft Teams, Zoom, Symphony, IPC Unigy or other turrets, Cloud9, mobile phones, or PBX (desktop phones).
- Seamless recording across voice, video, chat, screen sharing, document sharing, and more.

## Archiving



### Retain All Communications in a Centralized Platform

**Compliancentral** reduces compliance risk and complexity by providing a single portal for retaining and archiving your employees' communications across your entire global enterprise. This includes:

- Searching and replaying recordings, across all locations, modalities, and regulated users.
- Implementing adds, moves, or changes.
- Configuring retention periods for asset classes, lines of business, and regulated user groups.
- Setting up rules for legal holds.

Additionally, Compliancentral's open APIs enable you to further automate processes and integrate with third-party systems and applications:

- **Export** – to other systems or reporting tools
- **Search & Replay** – audited & unencrypted
- **Provisioning** – automated user management
- **System Health** – monitor in other apps
- **Business Data** – for Business Intelligence
- **Ingestion** – with centralized provisioning

## Holistic Surveillance



### Proactively Detect All Types of Misconduct

The first AI-powered true holistic surveillance solution, **Compliancentral** uncovers all forms of market manipulation and misconduct to insulate your firm from fines and reputational damage while ensuring complete compliance with all regulations. **Compliancentral** offers:

- Unparalleled risk coverage for buy- and sell-side firms, insurance companies, crypto exchanges, and more.
- Use of the latest AI technologies (including natural language understanding), combined with traditional expert rules-based analytics.
- Built-in, industry-leading case management capabilities.

## Behavioral Insights



### Uncover Hidden Behavioral Risks

**Compliancentral** helps identify and deter rogue traders before they act, thereby preventing financial and reputational damage to your firm.

With **Compliancentral**'s predictive surveillance, you can get out in front of rogue traders before they wreak havoc on your firm. Benefits of **Compliancentral** are:

- Eliminates siloed decision-making by leveraging AI-powered predictive algorithms to analyze data across a wide range of behavioral, trading, and communication risk factors to identify unusual behavior.
- Uses supervised and unsupervised machine learning to analyze all factors together and to correlate these early warning signals to past known rogue trading cases.
- Assesses each regulated employee's risk and even assign an associated risk score.
- Deters behavioral risks in advance instead of detecting weeks or months after they happen, by proactively identifying traders who may have a propensity to act recklessly.

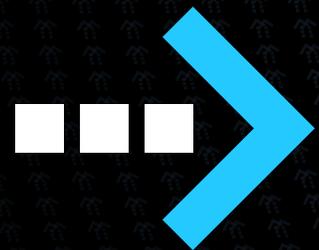
# NICE Actimize

Know more. Risk less.

## Learn more

Visit our website: [niceactimize.com/compliance](https://niceactimize.com/compliance)

Contact us: [compliance@niceactimize.com](mailto:compliance@niceactimize.com)



## NICE Actimize Financial Markets Compliance

NICE Actimize Financial Markets Compliance is a leading compliance solution provider, serving more than 90 percent of the largest investment banks globally. NICE Actimize's compliance solutions assist customers in the capture of trade conversations and trades, analyzing them for potential risk, and correlating trade conversations with trades for trade reconstruction.

The company's compliance solutions make automated and intelligent holistic trade compliance programs possible and enable FSOs to more efficiently comply with regulatory requirements, including MiFID II, MAR, FX Code of Conduct, Dodd-Frank and future directives.

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