



**NICE**

# **NTR-X** Recording Assurance

**Assure Compliance with Recording Check,  
Health Check and Reconciliation**

## The Compliance Challenges

In the past 18 months, twelve major U.S. and global investment banks have been fined for failing to properly record and retain employees' conversations with clients. In announcing the first fine last December, the SEC pointed to violations of books and records preservation requirements under the 1934 Securities and Exchange Act (specifically, Rules 17a-4(b)(4) and 17a-4(j)), and also to a failure of banks to reasonably supervise employees in order to detect or prevent further violations of these Rules. In its order, the CFTC cited violations of similar provisions under the Commodity Exchange Act (1936) related to record-keeping and supervision.

These SEC and CFTC Rules require U.S. banks and broker-dealers to capture and retain all business-related communications, including those related to sales and trading (regardless of how they are transmitted). Banks and broker-dealers must also furnish these communications to regulators on request.

## NTR-X Can Help Firms Expose Record-Keeping Gaps and Keep up with Regulatory Requirements

**NTR-X**, NICE's next-generation *Compliance Recording and Assurance platform*, provides one system to record and manage all communications, ensuring seamless recording, archiving, and retention of regulated employee communications, irrespective of where employees are working or the devices/modalities they're using to communicate.

*NTR-X has three unique features that work together to ensure that all calls that should be recorded, are being recorded, all of the time.*

### 1. Health Check

**NTR-X Health** ensures that the platform is continually working.

If anything fails, **NTR-X Health** will send an alarm to let you know there are system problems.

This feature reduces TCO related to employee resources, allowing IT employees to focus on revenue-generating activities.

### 2. Recording Check

**NTR-X Recording Check** happens at the 'start' of the day, or after you deploy network upgrades and software changes.

**NTR-X Recording Check** tests your entire system at a given point in time to make sure all systems are working as needed.

### 3. Reconciliation

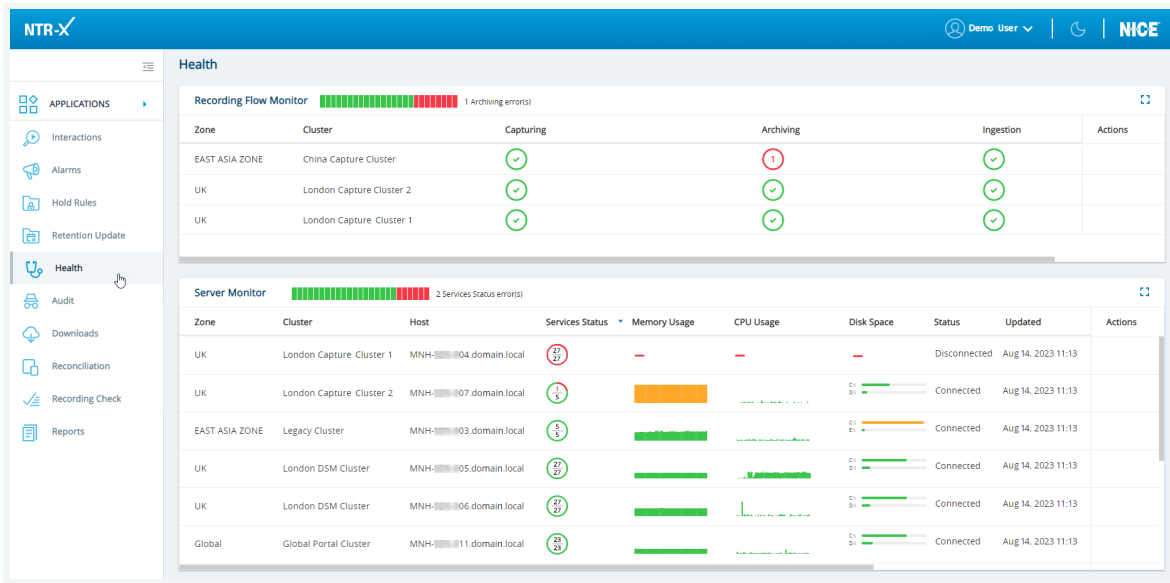
**NTR-X Reconciliation** adds another real-time protection layer to NTR-X's scheduled recording checks, so you can instantly know if a call was not recorded, immediately troubleshoot and fix underlying problems, and provide timely notification to regulators.

With real-time recording reconciliation, your firm can have complete confidence in its ability to capture every trader voice communication.

# 1. Health Check

## How it Works

- Using **NTR-X Alarms** as its source, the **Recording Flow Monitor** categorizes and displays each alarm in a simple, easy-to-understand dashboard view.
- Alerts for **Critical Errors** are generated based on alarm configuration. Alarms can be sent via webhook, SNMP or SMTP (email). Using Webhooks, **NTR-X** is even able to send real-time alerts to workflow applications like **ServiceNow**.
- Administrators can drill down to the **Alarm Details** directly from the **Health Application Page**.



## What it Reveals

- The **NTR-X Health** main page offers a quick overview of the state your **NTR-X** platform.
- The **Recording Flow Monitor** shows, in real-time, the state of the capturing flow per cluster:
  - The number in a red circle indicates the quantity of unique active alarms at “critical” or “error” levels in a cluster.
  - The top bar shows the aggregated errors of all Zones.
- The **Server Monitor** shows, in real-time, the state of each **NTR-X** node (Host) per cluster
  - **Services status** shows the total number of services installed on the node, and the number of services not running
  - **Memory Usage** warns about reduced capacity
  - **Status** indicates whether the Health Manager is receiving information from the nodes

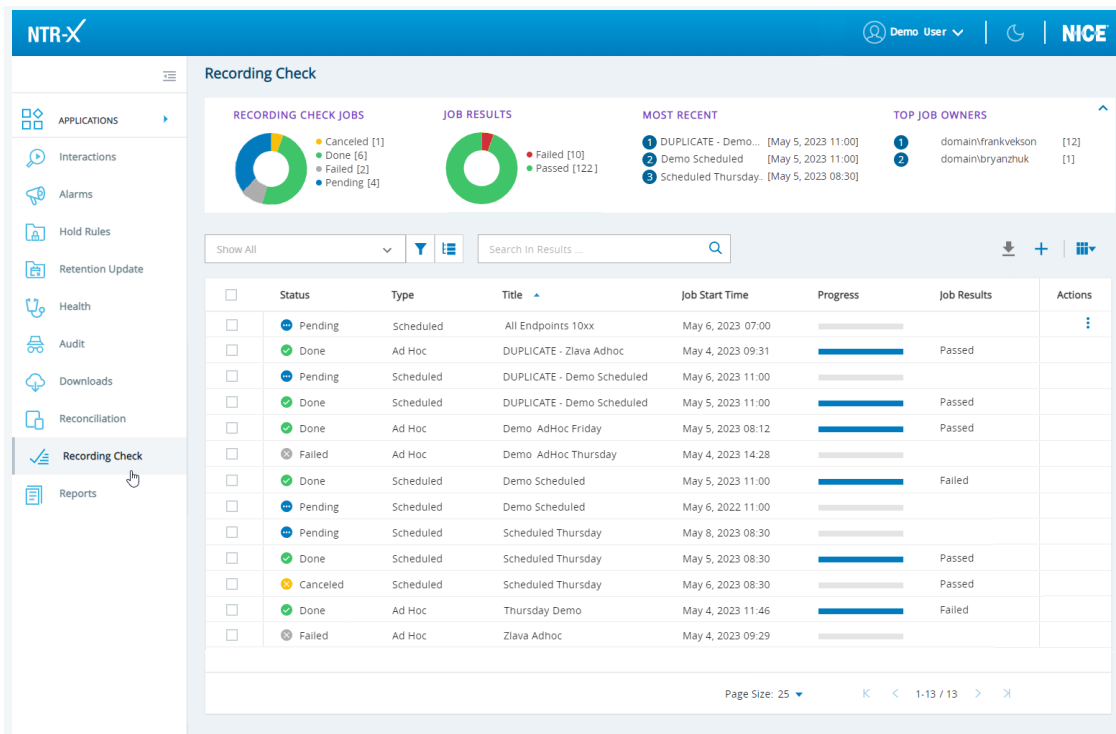
# 2. Recording Check

## How it Works

**Recording Check** automatically makes test calls from the recorded endpoints using the Communication Platform APIs. **NTR-X** verifies that the test call was successful by checking the call duration, the call metadata, and the quality of the recording using the platform’s **Voice Metric** feature.

An **NTR-X Recording Check** job can be:

1. Once-only (“**Ad Hoc**”): the job consists of one run that starts immediately after clicking “save”. The job is created using the setting: Job Runs, When to execute > Now.
2. Recurrent (“**Scheduled**”): the job consists of multiple runs, executed on the days selected. The first run starts at the scheduled point in time that comes first after the job was saved.



## What it Reveals

On the **Recording Check** main page you can create jobs with **Scheduled** or **Ad Hoc** (once-only) test runs. Jobs can have the following statuses:

- **Done:** The job has been executed in all Zones and all selected endpoints have been tested
- **In Progress:** the test run is in progress
- **Pending:** the job is waiting for the next test run to be executed according to schedule
- **Canceled:** the job was canceled while the test run was in progress
- **Failed:** the test run did not complete, or did not start

# 3. Reconciliation

## How it Works

Using the **Reconciliation Application** you can verify, in real-time, if all interactions that must be recorded for compliance reasons were actually recorded. It compares data of interactions received from the telephony system with the interactions captured by **NTR-X**.

1. The **Reconciliation Service** retrieves the communication history from the telephony system. This is a listing of all Call Detail Records, or “expected interactions”.
2. The **Reconciliation Service** then compares the call data from the telephony system to the recorder interaction databases to create a reconciliation report.
3. The **Reconciliation Database** then transfers the data to the **NTR-X Portal Server**.

The screenshot shows the NTR-X Reconciliation application interface. At the top, there are summary cards for MISSING INTERACTIONS (9), LOCATIONS (NTR\_London [96], NTR\_Paris [70]), RECORDED USERS (Lya Dress [49], Lee Berns [47], Sarah Goak [4]), and RECORDED ENDPOINTS (3001 [49], 3000 [47], 3002 [7]). Below these is a search bar and a table of interaction records.

Status	Recorded User	Recorded Endpoint	Zone	Type	Source Audio	Recorded Audio	Audio Deviation	Missing Interactions	Actions
✓	Lya Dress	10064	NTR_London	Cisco CUCM	00:01:40	00:01:36	00:00:04	0	
✗	Karl Lummiko	12304	NTR_London	Cisco CUCM	00:03:15	00:03:10	00:00:05	2	
✓	Lee Berns	10004	NTR_Paris	IPC Unigy	00:03:13	00:03:10	00:00:03	0	
✓	John Lee	10004	NTR_London	IPC Unigy	00:01:18	00:01:14	00:00:04	0	Download
✓	Sarah Goak	11076	NTR_London	Cisco CUCM	00:01:20	00:01:14	00:00:06	0	
✓	Karl Lummiko	12204	NTR_Paris	Cisco CUCM	00:02:34	00:02:30	00:00:04	0	
✓	Lya Dress	11009	NTR_London	IPC Unigy	00:04:41	00:04:35	00:00:06	0	
✗	Sarah Goak	12098	NTR_London	Cisco CUCM	00:02:41	00:02:35	00:00:06	3	
✓	Lee Berns	10045	NTR_Paris	Cisco CUCM	00:03:33	00:03:25	00:00:08	0	
✓	Sarah Goak	10999	NTR_NYC	IPC Unigy	00:02:08	00:02:04	00:00:04	0	
✓	Lya Dress	18909	NTR_London	Cisco CUCM	00:03:26	00:03:24	00:00:02	0	
✓	Sarah Goak	12983	NTR_NYC	IPC Unigy	00:02:18	00:02:14	00:00:04	0	
✓	Karl Lummiko	10045	NTR_Paris	Cisco CUCM	00:05:14	00:05:13	00:00:01	0	
✓	Lee Berns	10554	NTR_London	IPC Unigy	00:02:18	00:02:15	00:00:03	0	
✓	Lee Berns	19087	NTR_NYC	IPC Unigy	00:01:09	00:01:06	00:00:03	0	

**Reconciliation “Traffic Light” Status Indicators**

- ✓ No missing recordings during the selected time range.
- ✗ One or more (complete) recordings are missing during the selected time range.

## What it Reveals

The **NTR-X** user interface provides access to the **Reconciliation Module** which displays an overview of the Reconciliation results during a configurable period of time. Alarms are generated if there are missing interactions. A convenient “traffic light” indicator shows, at a single glance, which extensions have missing interactions. A detailed report of any missed interactions is also available for analysis and dissemination.

Both **Cisco Active IP Recording Integration** and **IPC Unigy Active IP Recording Integration** are supported.

- The main window gives you an overview of the **Reconciliation Results** during a configurable time period.
- The overview shows aggregated information on the interactions of all monitored extensions recorded by the **NTR-X** platform.



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