



guardREC® COMPLIANCE

Easy-to-use Bank & Finance recording
software with powerful compliance tools



guardREC
an EMBRON Company

ABOUT GUARDREC

GuardREC is a Norwegian Reg Tech company developing and providing leading recording and compliance solutions. The solutions are aimed towards international customers in Banking and Finance and Air Traffic Control.

GuardREC has 20 years of experience in development and delivery of security-critical solutions. The recording solutions is specifically designed to help organizations comply with increasingly stringent legal and industrial requirements and regulations. GuardREC is a subsidiary of Hatteland Technology AS and a part of Embron Group.



GuardREC's vision is to simplify Compliance Officers everyday life. By using technology to highlight nonconformities, Compliance Officers can focus on the critical matters and ensure compliance – rather than the large amount of data.”

Oddmund Johansen
CEO at guardREC



KEY CHANGES INTRODUCED WITH MIFID II AND GDPR

Financial institutions today experience increasing pressure to remain compliant with regulations and directives, and to keep up to date with the latest in regulatory technology to manage and reduce risk.

Dialogue with customers is changing and new technology brings new ways of communicating

with customers. In the past, one only had to record communication on the standard, fixed line phone.

Now brokers must also deal with recording of mobile, chat, online meetings, videoconferencing and an increasing number of audio files, messages, images and video.



Call recording – Key MiFID II changes

- ✓ From phone recording to “phone calls and all electronic communication”
- ✓ From transaction to “all communication that can end up with a transaction”
- ✓ From recording to “proactive risk management and compliance”

Privacy – Key GDPR issues

- ✓ Limit access to recorded data. Only necessary use - prevent unauthorized access.
- ✓ Individuals right to get access to all recorded data across communication type
- ✓ Avoid recording of non-essential or surplus information.

EASY-TO-USE RECORDING SOFTWARE WITH POWERFUL COMPLIANCE TOOLS

GuardREC® Compliance allows you to securely record and store phone calls and electronic communication in one place – helping you ensure compliance with industry-specific regulations and directives.



guardREC® Compliance is helping you ensure compliance with:

- MiFID II (Markets in Financial Instruments Directive)
- Dodd-Frank (Dodd-Frank Wall Street Reform and Consumer Protection Act)
- GDPR (General Data Protection Regulation)



Designed for Compliance Officers in the financial market

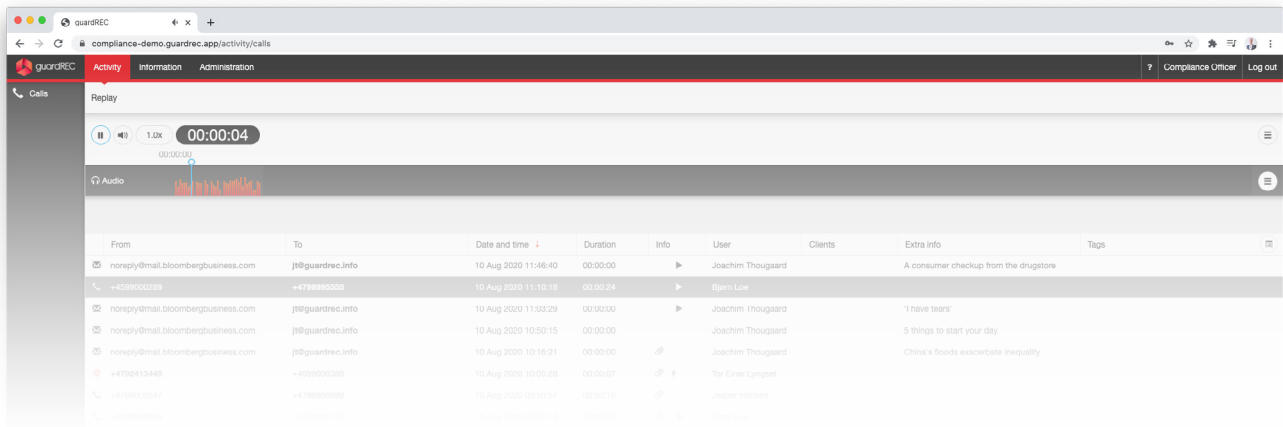
Introducing powerful compliance tools, guardREC® Compliance sets a new standard for compliance recording in the financial market



Utilize your existing technology

Connect guardREC® Compliance seamlessly with the communication tools you already use. With a series of built-in integrations, implementation is easy and hassle-free.

THE BEST ABOUT GUARDREC® COMPLIANCE



Record and retrieve everything

Connect seamlessly with the communication tools you already use to record, store and access everything in one place.



Powerful compliance tools

Focus on the critical matters rather than the large amount of data to minimize risk of compliance breaches.



Easy-to-use

Bring your compliance department quickly up to speed with an intuitive and user-friendly web interface.



Ensure compliance

Ensure compliance with industry specific directives and regulations such as MiFID II, GDPR and Dodd-Frank.



Easy implementation

No local installation or hardware required. With a series of built-in integrations, implementation is easy and hassle-free.



Robust and reliable

guardREC® Compliance is the most robust and reliable system on the market – providing high stability and ensuring constant compliance.

GUARDREC® COMPLIANCE INTEGRATIONS

Connect guardREC® Compliance seamlessly with the communication tools you already use so you can record, store and access everything in one place.

FEATURED INTEGRATIONS



Audio from audio, video and PSTN

Chat, IMs and flesharing

Video and screensharing



Email

Chat and email

Chat and email



Phone calls

Phone calls

Phone calls



Phone Calls

Phone calls

Phone calls



Mobile phone calls, SMS and MMS

Mobile phone calls, SMS and MMS

Mobile phone calls, SMS and MMS



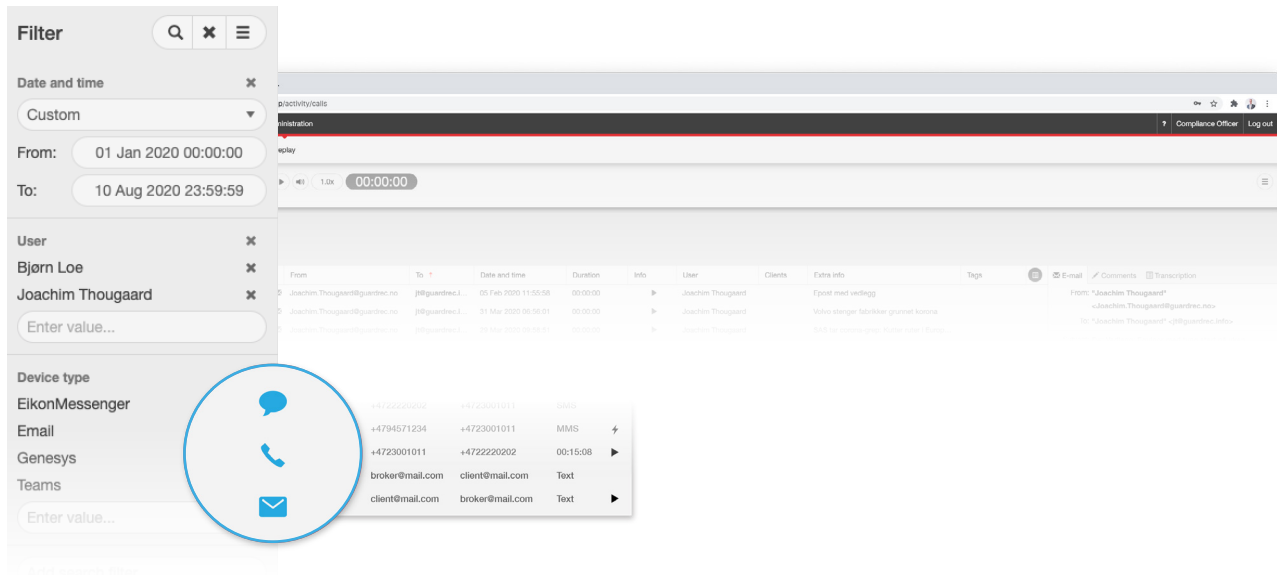
Mobile phone calls

Mobile phone calls

Audio from video conference

EVERYTHING IN ONE PLACE

Access all recorded data in one place. No more need to do compliance recording in several different systems.



Search and filtering

Find and retrieve exactly what you are looking for with a wide range of search and filter possibilities.



Complete overview

Access all recorded data in one place, regardless of which communication tools your organization uses.

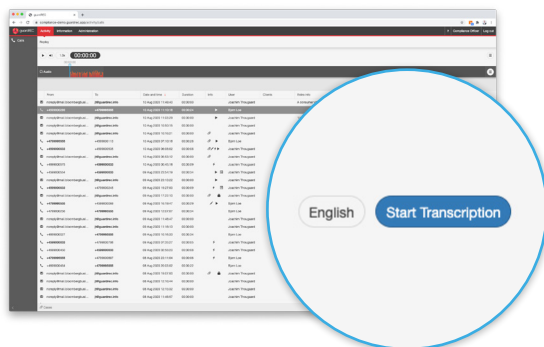


Trade reconstruction

Reconstruct pre-trade, trade and post-trade communication related to any transaction, enabling you to see the entire course of events.

OPTIMIZE YOUR RISK-BASED APPROACH

Focus on the critical matters rather than the large amount of data to minimize risk of compliance breaches.

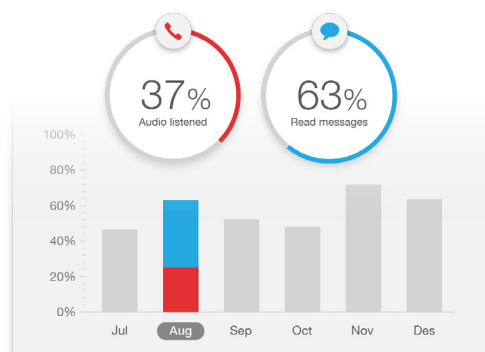
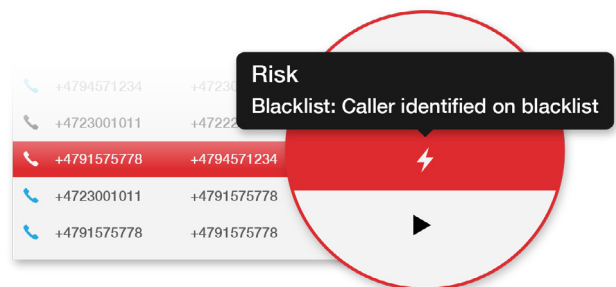


Word & phrase spotting

Search for content in voice to identify calls containing potential risks without having to listen, with built-in voice-to-text.

Risk detections

Define and set up risk detections based on configurable parameters. Get notified when risk is detected.



Dashboards

Create customizable dashboards to highlight vital information, assisting you prioritizing potential risks to manage.

SPEND LESS TIME AUDITING WITH SMART TOOLS

Free up valuable time on retrieving calls and switching between several different applications.

Smart tags

Tag calls or specific segments within calls to structure your data. Smart Tags are searchable, so you can easily find back to data of interest.

Compliance comments

Take audit notes and keep sensitive information inside the system. No more reason to document compliance in external spreadsheets.

The screenshot displays the guardREC application interface. At the top, there's a navigation bar with 'Calls' and 'Replay' tabs. The 'Replay' tab is active, showing a call player with a timeline and a list of calls. A call log table is visible below the player, with columns for 'From', 'To', 'Data and time', 'Duration', 'Info', 'User', 'Clients', 'Extra info', and 'Tags'. A 'Smart tags' menu is overlaid on the call log, showing options like 'Export', 'Add tag', and 'Remove selection'. A 'Compliance comments' menu is also overlaid, showing a list of comments with dates and times. Below the call log, there's a 'Cases' section with a table of cases, including columns for 'Title', 'Creation time', and 'Share'.

From	To	Data and time	Duration	Info	User	Clients	Extra info	Tags
+4799519951	+4599000224	03 Sep 2020 10:40:15	00:00:20		Admin			
noreply@mail.bloomberg...	jt@guardrec.info	03 Sep 2020 10:20:39	00:00:00		Joachim Thougard		Merkel steps up	
+4799995555	+4699000997	03 Sep 2020 09:56:48	00:00:18		Björn Loe			
+4799519951	+4699000780	03 Sep 2020 08:08:47	00:00:36		Admin			
inside.commodities@new...	jt@guardrec.info	03 Sep 2020 07:29:33	00:00:00		Joachim Thougard		Inside Commodities: Iraq ...	
+4599000033	+4699000535	03 Sep 2020 06:14:15	00:00:16		Joachim Thougard			
noreply@mail.bloomberg...	jt@guardrec.info	03 Sep 2020 05:38:19	00:00:00		Joachim Thougard		5 things to start your day	
+4799000772	+4792413449	03 Sep 2020 03:11:05	00:00:32		Tor Einar Lyngset			
+4799995555	+4699000218	03 Sep 2020 01:38:35	00:00:25		Björn Loe			
+4799000391	+4599000033	03 Sep 2020 01:11:04	00:00:56		Joachim Thougard			
noreply@mail.bloomberg...	jt@guardrec.info	02 Sep 2020 23:10:55	00:00:00		Joachim Thougard		A hundred apps banned	
+4792413449	+4799000055	02 Sep 2020 22:08:13	00:00:07		Tor Einar Lyngset			
+4599000623	+4799995555	02 Sep 2020 21:40:46	00:00:44		Björn Loe			
+4699000990	+4799519951	02 Sep 2020 20:12:08	00:00:05		Admin			

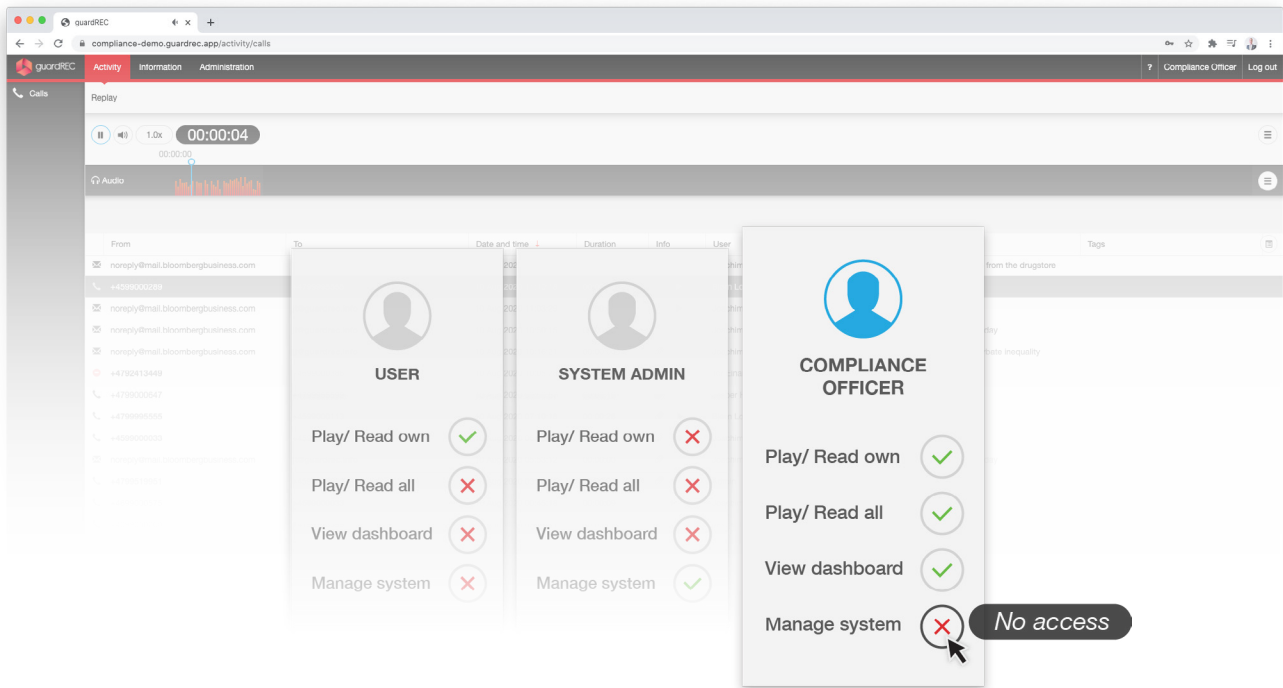
Title	Creation time	Share
Transaction 2	10 Aug 2020 10:31:35	Not shared
Audit - New employee	10 Aug 2020 10:32:08	Not shared
Authority supervision	10 Aug 2020 10:33:13	Not shared
Complaints	10 Aug 2020 10:34:08	Not shared
Transaction 3 - audit	10 Aug 2020 10:34:39	Not shared
Internal audit	10 Aug 2020 10:35:24	Not shared
Risikobasert kontroll	13 Aug 2020 12:42:47	Not shared
Audit new employee	27 Aug 2020 12:23:27	Not shared

Case

Organize and structure sets of calls in cases for audit. Share or export cases in conjunction with authority supervisions or client access requests.

LIMIT ACCESS TO RECORDED DATA

Ensure that sensitive data are only available to authorized users, depending on the structure of your organization.



Role-based access

Set up roles with different sets of permissions and accesses. Assign roles to a user or department.



User authentication

Activate two-factor authentication and define password and lockout policies based on your requirements.



External access

Provide access to external users for a limited amount of time, e.g. customer access request to recorded data.

AVOID RECORDING OF SURPLUS INFORMATION

Define what to not record to avoid recording and storing of non-essential and surplus information.

Whitelist	Comment
900 01 234	Private
110	Emergency
112	Emergency
113	Emergency
John@mail.no	Private



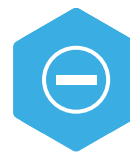
Private whitelists

Manage whitelists on a per user level.



Global whitelists

Manage whitelists on a per department or organization level.



Mark as private

Mark recorded calls as private. Authorized users can still see or listen to private calls for random checks.

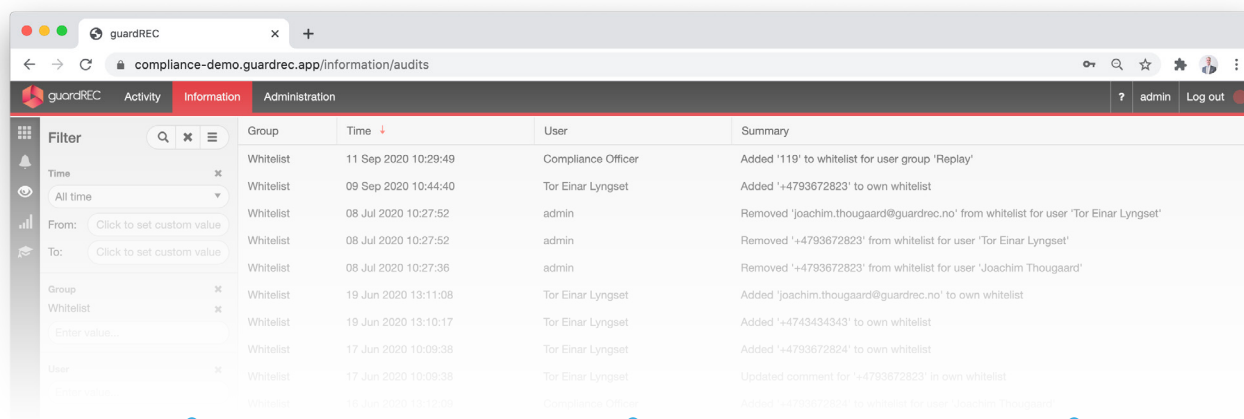


Cross-channel whitelists

Manage whitelists on any type of number, device or communication tool.

ENSURE COMPLIANCE

Be certain you can prove complete regulatory compliance with industry-specific regulations and directives.



The screenshot shows the guardREC web application interface. The top navigation bar includes 'guardREC', 'Activity', 'Information', and 'Administration'. The 'Information' tab is selected. The main content area displays a table with columns: Group, Time, User, and Summary. The table lists various whitelist actions performed by users like 'Compliance Officer' and 'Tor Einar Lyngset'. A sidebar on the left contains a 'Filter' section with options for Time, Group, and User.

Group	Time	User	Summary
Whitelist	11 Sep 2020 10:29:49	Compliance Officer	Added '119' to whitelist for user group 'Replay'
Whitelist	09 Sep 2020 10:44:40	Tor Einar Lyngset	Added '+4793672823' to own whitelist
Whitelist	08 Sep 2020 10:27:52	admin	Removed 'joachim.thougaard@guardrec.no' from whitelist for user 'Tor Einar Lyngset'
Whitelist	08 Jul 2020 10:27:52	admin	Removed '+4793672823' from whitelist for user 'Tor Einar Lyngset'
Whitelist	08 Jul 2020 10:27:36	admin	Removed '+4793672823' from whitelist for user 'Joachim Thougaard'
Whitelist	19 Jun 2020 13:11:08	Tor Einar Lyngset	Added 'joachim.thougaard@guardrec.no' to own whitelist
Whitelist	19 Jun 2020 13:10:17	Tor Einar Lyngset	Added '+4743434343' to own whitelist
Whitelist	17 Jun 2020 10:09:38	Tor Einar Lyngset	Added '+4793672824' to own whitelist
Whitelist	17 Jun 2020 10:09:38	Tor Einar Lyngset	Updated comment for '+4793672823' in own whitelist
Whitelist	16 Jun 2020 13:10:08	Compliance Officer	Added '+4793672824' to whitelist for user 'Joachim Thougaard'



Audit trail

Automatically track and monitor all user activity and interaction with recorded data throughout the entire life cycle.



Automated reporting

Produce and share compliance reports with just a few clicks with built-in reporting tools and templates.



Mark-for-keep

Mark calls that are to not be deleted by automatic retention with mark-for-keep.



Quality of Service

With QoS you can verify that all types of performed calls is recorded and stored correctly.



Automatic retention

Set retention time (5 years by default) to make sure recordings and other data is not stored too long.

DATA SECURITY AT REST

Ensure that your data securely stored and protected at all time.



Azure Cloud hosting

GuardREC® Compliance provides hosting in Microsoft Azure Cloud in datacenter regions of your choice (North Europe by default).



Encrypted storage

Automatic encryption protects your data and helps you to meet your organizational security and compliance commitments.



Security audits

Software security audits are performed regularly by independent security auditor, making sure your data always stays protected.



Alarms

Alarms proactively notify you when important conditions are found in your monitoring data.



Automatic backup

GuardREC® Compliance provides secure backup of your data in the Microsoft Azure Cloud.



Want to learn more? Visit:
WWW.GUARDREC.COM