

Enabling compliance and dispute resolution.

BT smartnumbers face-to-face recording



Financial Services organisations are increasingly looking to record important meetings with customers, for MiFID II compliance, dispute resolution and market insight. But as the volume of recorded conversation increases, so does the challenge of storing and analysing this data to ensure compliance with FCA regulations and to obtain valid market insight.

BT smartnumbers makes it simple to capture and securely store face-to-face conversations. Advisory staff log in to the app on their smartphone or tablet device, enter the customer's details and record the conversation.

To ensure conversations are kept confidential and secure, they are encrypted on the device and then archived in the BT smartnumbers vault. The BT smartnumbers vault provides a robust and highly secure platform to store and search recordings for seven years as mandated under MiFID II or to meet your data retention policies.

Features overview.

- **Face-to-face recording:** A secure and reliable app to capture face-to-face conversations between staff and clients.
- **Rich metadata:** A number of attributes about the recording are captured, including the staff member, client, time, duration and the location of the conversation. Additional metadata can be captured before the conversation.
- **Offline recording:** Conversations are encrypted and cached on the device until a data connection with the BT smartnumbers vault is established.
- **Data security:** Data is encrypted at rest and in transit.
- **Tamper evident:** All recordings are signed with HMAC to ensure data authenticity. Additionally, all access to the smartnumbers compliance console is audited.
- **Simple eDiscovery:** Data is indexed using rich metadata, including contact names, and is discoverable through a user friendly, secure web console. This enables recordings to be quickly located.
- **Robust infrastructure:** High-availability infrastructure to ensure continued service if system components fail.

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Features in-depth

Face-to-face recording

- Customer-facing advisors sign in to the face-to-face recording app, enter the customer's details, obtain consent and record the conversation.
- Recordings are securely cached on the device until a data connection with the BT smartnumbers vault is established.
- Once transmitted to the BT smartnumbers vault, the recording is erased from the device for security and data protection regulations.

Permanent, secure storage with BT smartnumbers vault

- BT smartnumbers vault is a read-only archive which provides long-term storage and analysis of all face-to-face conversations.
- Records are stored with the highest levels of encryption and security in the industry.
- By default data is stored for seven years as required under MiFID II, but the duration is configurable to meet your data retention policies.

Automatic search and replay of recordings

- The BT smartnumbers compliance console provides a real-time view of all face-to-face recordings held in the BT smartnumbers vault.
- Conversations may be searched by all relevant metadata, including the names of the customer, advisor, dates, times, duration and location.
- Once identified, conversations may be flagged for peer review, downloaded or shared with appropriate individuals as required.

Automatic transcription with keyword trigger review

- Conversations may be automatically transcribed, enabling the full-text of the conversation itself to be searched and reviewed.
- Transcription is provided at the highest levels of accuracy.
- Comprehensive text search can then be undertaken on this transcription, to identify recordings that include keywords, phrases or other trigger items of interest.
- Trigger words may be determined in advance so that all conversations are analysed automatically and flagged as being of significance or requiring review.

Data encryption, assurance and compliance

- All data, including recordings and metadata, are encrypted with the highest standards in the industry and digitally-signed with HMAC to identify evidence of tampering.
- The BT smartnumbers vault has industry-recognised certifications including PCI DSS Level 1, SOC 1, SOC 2, SOC 3, ISO 27001 and HIPAA.
- Data storage is compliant to stringent EU Data Protection regulations.

BT smartnumbers compliance console

- The BT smartnumbers compliance console provides a secure and user-friendly portal for compliance officers to review all face-to-face conversations between staff and customers. The service provides a full audit trail of activities in the vault, and records are digitally signed to reveal evidence of file tampering.
- The BT smartnumbers compliance console is available through any web browser on PC, tablet or smartphone. It provides a real-time view of all communications, with the ability to search for and replay recordings.
- Recordings can be transcribed into text, and shared with supervisors for training and assessment purposes.



Offices worldwide

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