

« Comply SEBI norms for unauthorised trade with

vizi VLog
VOICE LOGGER »



A leading stock broking and financial services company based in Ahmedabad, Gujarat. The company was promoted by first Indian lady share broker and member of Ahmedabad Stock Exchange. The company is amongst the first three broking houses to start CTCL (Computer to Computer link) terminals for online trading by branches and its sub brokers.

The company believes in adopting latest technologies and providing best in class services to the investors as well as stake holders and complying the regulatory norms.

Requirement

SEBI – Security & Exchange Board of India has released a circular vide circular no. IR/HO/ MIRSD/MIRSD2/CIR/P/2017/108 dtd. 26th September, 2017 for Prevention of Unauthorized Trading by Stock Brokers stating, the current regulatory requirements in commodity derivative markets require that **“The members shall execute the trade of clients only after keeping evidence of the client placing such order; it could be, interalia, in the form of sound recording.”** So, when dispute arises, the burden of providing proof will be on the broker and hence needs to produce the above records for the disputed trades.

Solution Offered:

Syntel understood the challenge and helped customer by offering VIZIO VLOG - centralized voice logging solution with value-adding customization. VizioVLOG is a comprehensive tool, ideal for Customer Interaction Management. It records interactions between customers and staff at broking company. The solution supports multi-site/ multi-server architecture with a web based Centralized Server. It supports Android based Mobile App as well. As a part of the Central Management System, VIZIOVLOG supports storage of large and heavy files, in case of long conversation is to be recorded.

Benefits:

VizioVLOG is easily installable and configurable, user-friendly and low on maintenance. It can be integrated with any Analog, PRI Trunks or even SIP IP Trunks coming from PBX / direct PSTN.

The company can now record and manage all telephonic conversations happening at its sub-brokers' level too. The retrieval of conversation recording is easy and can be mapped with Client ID and hence particular transaction on any time or day. In case, recording is stopped for any reason, system send a notification/ Alert on the configured email ID, so that corrective action can be taken well in time.

The customer now complies SEBI circular norms and strengthen regulatory provisions against unauthorized trade, executes trades of clients while keeping evidence in the form of voice recordings and calls.

Key Aspects:

- Installed Voice loggers of required capacities based on no and types of telephone lines available at various branches of companies stocks.
- The Centralized server is at Head office in Ahmedabad. The central server is accessible to multiple locations via Static/ Live IP
- Mobile App is installed on Android device through Google Play Store
- All local servers and Mobile App are configured on the Central Server
- Voice logging data is recorded at local server and mobile application, is transferred to the central server.
- Local servers and Mobile Apps are continuously in sync with the central server.
- In case, any local or mobile application is down, central location will be notified via an E-mail or SMS.
- Voice recordings can be retrieved from central server based on server, contact number, date & time etc.
- **Voice recording is mapped with client ID by uploading customer database in the Central Server so that required recording file can be searched with an ease.**
- **Voice log is important only for the trading calls. At the end of the day, order file is generated at stock broker level. Uploading of order file into the central server and reconciliation with voice log file based on date-time, customer id etc parameter is enabled.**
- **Manual reconciliation for the orders which are not mapped automatically or overridden is available.**
- **Local server level access permission based user login is available with limited rights.**
- **Sub-broker level login for his own data reconciliation is also made available.**

Features of Mobile App:

- Configurable recording time to enable recording at a designated time. This helps the user record voice as per the stock exchange working hours.
- Enable/ disable SIM based recording, to exclude call recording of personal number (SIM)
- Configure/ update the list of personal number within the application to eliminate recording personal calls within the specified time and SIM

Syntel is a Telecom Division of Arvind Limited; a flagship Company of the Ahmedabad based Lalbhai Group; one of India's most respected industrial houses. Today, Syntel is a leader in technology solutions offering Enterprise Communications, IT Infra & Automation, AV Integration & Automation and Security & Surveillance services under one roof. Backed by the support of leading global technology partners and its in-house brands.

In order to add value to the exceptional products, Syntel also owns an in-house software application development team that constantly works towards delivering customized and integrated solutions for various verticals under communication, security surveillance and IT domains. All the industry solutions are offered through a SINGLE WINDOW, ensuring efficient and secured business processes and delivering smart returns on investments.