Bloomberg’s Real-Time Surveillance of Electronic Communications

E-communications monitoring is critical to mitigating conduct, financial and reputational risks. Bloomberg’s robust e-surveillance solution works across e-communication types, provides a workflow tool to manage reviews and meets both business control needs and regulatory compliance requirements.

**SET UP & MANAGE**
- **Flexible Alerting Capability** – Predefined and customizable rules/policies to manage conduct, financial and reputational risks, applying algorithms for heightened alerting functionality.
- **Hierarchy Management** – Group management functionality allows you to set up your review hierarchies to mirror your global organization, including first and second lines of defense.
- **Specialized Account Managers** – Dedicated team that works with you to provide a target operating model to meet your organization’s needs.

**MONITOR**
- **Real-Time Review** – Monitor Bloomberg MSG and IB in real time, and emails and instant messages in near real time.
- **Workflow Management** – Evidence your review with commentary and quickly escalate any concerns within your business hierarchy.
- **Audit Trail** – Review the alert life cycle for transparency and reporting.

**INVESTIGATE**
- **Robust Search Tools** – Proactively investigate potential risk or respond to e-discovery requests by leveraging consolidated search tools on a single platform.
- **Chat Room Audit** – Review chat room membership to ensure employees are complying with internal and external policies and regulations.

**REPORT**
- **Reporting Framework** – A library of reports that measure operational effectiveness, governance and completeness for team leads and senior management.
- **Secure Archiving** – Industry-leading, resilient and highly secure archive for all communications data with flexible retention periods of at least 5 years.
- **Encryption** – Data is encrypted in transit and optionally at rest with encryption keys managed by the customer.

**CLIENT CONCERNS AROUND E-COMMUNICATIONS MONITORING:**
- Continued regulatory enforcement and fines
- Operating model optimization between compliance and front-office
- Data quality, analytics and reporting
- Hiring and attracting subject-matter experts to identify risk and liaise through the organization
TAKE THE NEXT STEP
Learning about Bloomberg’s e-communication control monitoring toolkit can help you proactively monitor for potential violations. Contact us at +1 212 617 6580, vaultsales@bloomberg.net or call your regional representative to schedule a personalized demonstration.

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