### Bloomberg Compliance, Risk & Control Framework

Changing regulatory requirements, new communication platforms and rapidly growing data volumes can make compliance a daunting task. Enterprises are struggling to manage surveillance and investigations across various communication sources, and managing trade data further exacerbates the issue. As the compliance function becomes more intertwined with workflows across your firm, solutions that turn your compliance processes into value drivers can transform your business. A complex and dynamic regulatory environment requires an integrated, up-to-the-minute approach to compliance.

<table>
<thead>
<tr>
<th>Supervision &amp; Surveillance</th>
<th>Investigation</th>
<th>Reporting</th>
<th>Recordkeeping</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Trade Lifecycle</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Monitoring trades for</td>
<td>Investgate exceptions with</td>
<td>• Trade performance</td>
<td>Immutable storage</td>
</tr>
<tr>
<td>• Best execution</td>
<td>• Bloomberg market data and news</td>
<td>• Transaction cost analysis</td>
<td>of trade data</td>
</tr>
<tr>
<td>• Market abuse</td>
<td>• E-Communications</td>
<td>• Trade reconstruction</td>
<td></td>
</tr>
<tr>
<td>• Conflicts of interest</td>
<td>• Voice logs</td>
<td>• Approved Reporting</td>
<td></td>
</tr>
<tr>
<td>• Suspicious transactions</td>
<td></td>
<td>Mechanism (ARM)</td>
<td></td>
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<tr>
<td></td>
<td></td>
<td>• Approved Publication</td>
<td></td>
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<td></td>
<td></td>
<td>Arrangement (APA)</td>
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<tr>
<td><strong>Communications – Email, Voice &amp; Instant Message</strong></td>
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<tr>
<td>Monitoring corporate, 3rd party and Bloomberg communications for</td>
<td>Respond to legal eDiscovery or regulatory requests, or investigate conduct risk issues</td>
<td>• Review process, audit trail, policy effectiveness</td>
<td></td>
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<tr>
<td>• Conflicts of interest</td>
<td>• Content Search</td>
<td>• Letters of undertaking</td>
<td></td>
</tr>
<tr>
<td>• Conduct risk</td>
<td>• Participant Logs</td>
<td>• Regulatory reporting</td>
<td></td>
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<tr>
<td>• Data loss prevention</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>• Market abuse</td>
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<td></td>
<td></td>
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<tr>
<td><strong>Files &amp; Documents – Enterprise shared drives, SharePoint &amp; cloud storage/file hosting</strong></td>
<td>Search files based on keywords, metadata, regular expression search patterns, and content creator</td>
<td>• Enterprise “data map”</td>
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<tr>
<td>Index and centralize files and documents across the firm for review and supervision</td>
<td>• Scheduled and ad-hoc reporting</td>
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BLOOMBERG FOR ENTERPRISE

To succeed today, financial institutions must respond to challenges that are not addressed by traditional approaches. They require world-class solutions that integrate people, processes, information and technology for the front office, middle office and operations. Bloomberg partners with these institutions to protect and capitalize on data, manage risk, deliver transparency and control costs. Through enterprise-level expertise and three decades of deep industry experience, Bloomberg creates real value through the use of innovative technology that turns data into a strategic asset.

TAKE THE NEXT STEP

Learn more about how Bloomberg Vault can play a crucial role in meeting your Compliance, Archiving and e-Discovery needs. Visit bloomberg.com/enterprise or reach us at vaultsales@bloomberg.net.

Supported E-Communication Sources

BLOOMBERG
- Message (MSG)
- Instant Bloomberg (IB)

CORPORATE EMAIL
- Microsoft® Exchange
- Microsoft Office 365
- Any SMTP Email service (Salesforce, Yahoo, etc.)

INSTANT MESSAGING
- AOL IM
- Skype for Business (Microsoft Lync)
- Skype Online
- Blackberry
- Reuters
- Yahoo Web Messenger
- Jabber
- Slack
- Google Chat
- IceChat
- Pivot

TRADES
- Bloomberg Trading Solutions (TOMS, AIM, SSEOMS)
- FPML exports from Aladdin, Murex, Calypso, etc.

VOICE RECORDING
- NICE, Red Box, Verint, Weston
- Mobile recording

FILES & DOCUMENTS
- Unix and Windows file shares
- SharePoint 2010 and 2013
- Box, Salesforce Files, SharePoint Online, Hitachi

Additional Source Integration

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