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.

### Compliance, risk & control framework

**Supervision & surveillance**

**Trade lifecycle**
- Monitoring trades for:
  - Best execution
  - Market abuse
  - Conflicts of interest
  - Suspicious transactions

**Investigation**
- Investigate exceptions with:
  - Bloomberg market data and news
  - E-communications
  - Voice logs

**Reporting**
- Trade performance
- Transaction cost analysis
- Trade reconstruction
- Approved Reporting Mechanism (ARM)
- Approved Publication Arrangement (APA)

**Recordkeeping**
- Immutable storage of trade data

### Communications – Email, voice & instant message

**Monitoring corporate, third party and Bloomberg communications for:**
- Conflicts of interest
- Conduct risk
- Data loss prevention
- Market abuse

**Respond to legal eDiscovery or regulatory requests or investigate conduct risk issues:**
- Content search
- Participant logs

**Review process, audit trail, policy effectiveness**
- Letters of undertaking
- Regulatory reporting

**Immutable storage of e-comms and voice call recordings**

### Files & documents – Enterprise shared drives, SharePoint & cloud storage/file hosting

**Index and centralize files and documents across the firm for review and supervision**

**Search files based on keywords, metadata, regular expression search patterns and content creator**

**Enterprise “data map”**
- Scheduled and ad-hoc reporting

**Immutable storage of files and documents**
Learn more

Learn more about how Bloomberg’s Compliance solutions can play a crucial role in meeting your surveillance, investigation and archiving needs. Visit bloomberg.com/professional/expertise/compliance/ 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

Additional source integration

Trades
- Bloomberg trading solutions (TOMS, AIM, SSEOMS)
- FPML exports from third party trading systems

Voice recording
- Red Box, NICE, Verint and other recording platforms
- Mobile recording

Files & documents
- Unix and Windows file shares
- SharePoint® 2010 and 2013
- Box, Salesforce Files, Amazon S3, Hitachi
- BlackBerry
- Reuters
- Yahoo Web Messenger
- Jabber®
- Slack
- Google Chat

Learn the next step.

For additional information, press the <HELP> key twice on the Bloomberg Terminal®.

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