

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.



Trade lifecycle

Monitoring trades for:

- Best execution
- Market abuse
- Conflicts of interest
- Suspicious transactions

Investigate exceptions with:

- Bloomberg market data and news
- E-communications
- Voice logs

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

- 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

Supported e-communication sources

Bloomberg



- Message (MSG)
- Instant Bloomberg (IB)

Corporate email



- Microsoft® Exchange
- Microsoft® Office 365™
- Any SMTP email service

Instant messaging & social media*



- Skype for Business (Microsoft Lync)
- Skype for Business Online
- Microsoft Teams
- ICE Chat
- Pivot
- BlackBerry
- Thomson Reuters Eikon
- Twitter
- Slack Enterprise
- Jabber/CUCM
- plus more...

Additional source integration

Trade data



- Bloomberg Trading Systems (TOMS, AIM, SSEOMS, EMSX)
- Third-party OMS data in FIX, XML and CSV formats

Voice recording



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

Files & documents



- Unix and Windows file shares
- SharePoint 2010 and 2013
- Box, Amazon S3, Hitachi

*Please contact Bloomberg for details regarding the extent to which each format is supported.

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.

Take the next step.

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