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.

<table>
<thead>
<tr>
<th>Set up &amp; manage</th>
<th>Monitor</th>
<th>Investigate</th>
<th>Report</th>
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</thead>
<tbody>
<tr>
<td>Flexible alerting capability</td>
<td>Real-time review</td>
<td>Robust search tools</td>
<td>Reporting framework</td>
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<tr>
<td>Customizable policies with algorithms for heightened alerting functionality.</td>
<td>Monitor Bloomberg MSG and IB in real time; emails and instant messages in near real time.</td>
<td>Proactively investigate potential risk or respond to e-discovery requests using consolidated search tools.</td>
<td>Reports that measure operational effectiveness, governance and completeness.</td>
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<td>Hierarchy management</td>
<td>Workflow management</td>
<td>Chat room audit</td>
<td>Secure archiving</td>
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<td>Set up review hierarchies, including first and second lines of defense.</td>
<td>Evidence your review with commentary and quickly escalate any concerns within your business hierarchy.</td>
<td>Review chat room membership to ensure employees are complying with internal policies and regulations.</td>
<td>All communications data securely archived with flexible retention periods of at least five years.</td>
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<td>Specialized account managers</td>
<td>Audit trail</td>
<td></td>
<td>Encryption</td>
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<td>Dedicated team to provide a target operating model to meet your organization’s needs.</td>
<td>Review the alert life cycle for transparency and reporting.</td>
<td></td>
<td>Data is encrypted in transit and optionally at rest with encryption keys managed by the customer.</td>
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</table>

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
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

Meet global regulatory requirements

Bloomberg’s solutions are compliant with global surveillance and record-keeping regulations, providing archiving in an immutable format and letters of undertaking/attestation as requested.

**U.S.**
- Securities & Exchange Commission (SEC)
- Financial Industry Regulatory Authority (FINRA)
- Commodity Futures Trading Commission (CFTC)

**Europe**
- European Securities & Markets Authority (ESMA)
- Financial Conduct Authority (FCA)
- National Competent Authorities

**Asia**
- Monetary Authority of Singapore (MAS)
- Securities & Exchange Surveillance Commission (SESC)
- Financial Services Authority (FSA)

Learn more

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.

Take the next step.

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

bloomberg.com/professional