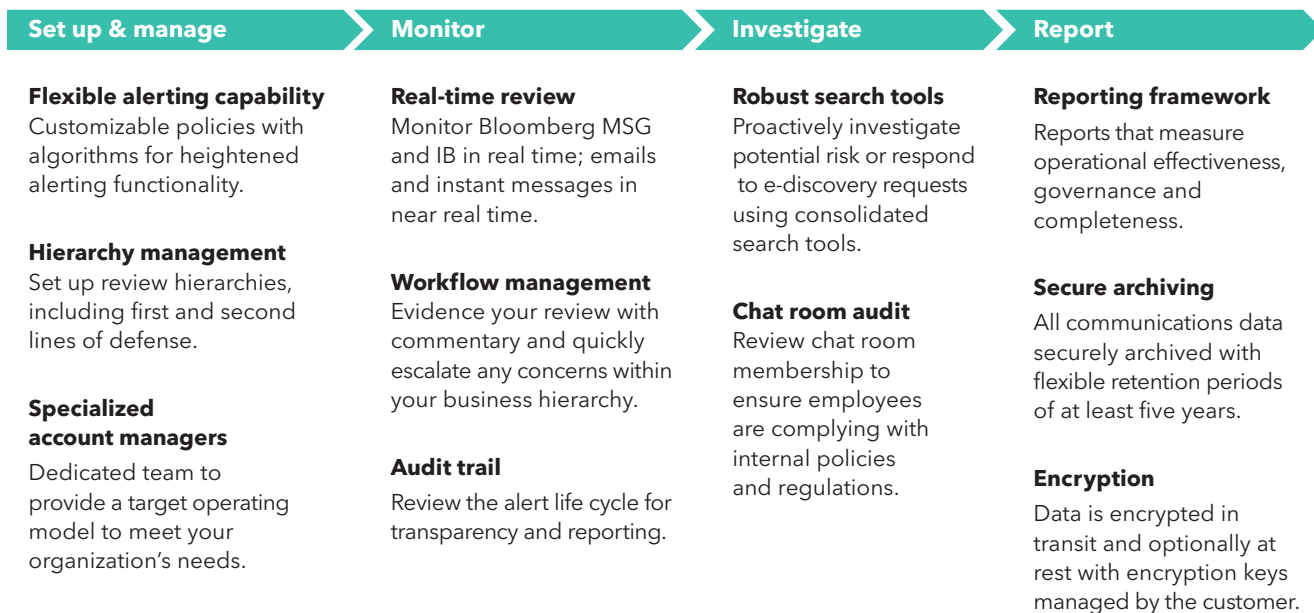


Real-time surveillance of electronic communications

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.



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

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.

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®.

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