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.

**Set up & manage**

**Flexible alerting capability**
Customizable policies with algorithms for heightened alerting functionality.

**Hierarchy management**
Set up review hierarchies, including first and second lines of defense.

**Specialized account managers**
Dedicated team to provide a target operating model to meet your organization's needs.

**Monitor**

**Real-time review**
Monitor Bloomberg MSG and IB in real time; emails and instant messages in near real time.

**Workflow management**
Evidence your review with commentary and quickly escalate any concerns within your business hierarchy.

**Audit trail**
Review the alert life cycle for transparency and reporting.

**Investigate**

**Robust search tools**
Proactively investigate potential risk or respond to e-discovery requests using consolidated search tools.

**Chat room audit**
Review chat room membership to ensure employees are complying with internal policies and regulations.

**Report**

**Reporting framework**
Reports that measure operational effectiveness, governance and completeness.

**Secure archiving**
All communications data securely archived with flexible retention periods of at least five years.

**Encryption**
Data is encrypted in transit and optionally at rest with encryption keys managed by the customer.

**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

Source — BPS 637456547538735165 | <GO> Surveillance fact sheet
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.