

# Compliance, risk & control framework.

Transform compliance from a requirement into a competitive advantage.

Changing regulatory requirements, new communication platforms and rapidly growing data volumes can make compliance a daunting task. 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.



## 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

## 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

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

## Built on Bloomberg

Bloomberg Vault leverages the scalability and reliability of Bloomberg's global infrastructure, which distributes up to 250 million daily messages and manages more than 70 billion archived records on behalf of Bloomberg Vault subscribers. Today, more than 6,000 organizations use Bloomberg Vault to manage and archive their enterprise data.

## 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/](http://bloomberg.com/professional/expertise/compliance/) or reach us at [vaultsales@bloomberg.net](mailto:vaultsales@bloomberg.net).

## Take the next step.

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

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