

Bloomberg Vault Premium Solution

Complex and changing regulatory and business requirements, new communication platforms, and rapidly growing data volumes can create compliance challenges. Firms need the proper framework in place to retain and surveil communications and trading records across their enterprise in order to mitigate these risks and threats.

An end-to-end, scalable solution: Bloomberg Vault

The Bloomberg Vault premium offering is an integrated compliance and communications surveillance solution that helps firms to aggregate, archive and analyze their e-communications, trading and voice data to reduce risk, meet regulatory obligations and elevate business controls and standards.

Bloomberg Vault helps to manage the end-to-end compliance workflow:



Key benefits

Integrate datasets: Aggregate, connect and enrich Bloomberg or corporate sources such as trade, voice or e-communications data with one solution provider.

Real-time monitoring of Bloomberg data: Bloomberg data can be surveilled in real time. Data includes MSG, Instant Bloomberg (IB) and other functions.

Reduce risk: Solutions help mitigate regulatory risk like market abuse and misconduct.

Streamline workflows: Avoid swivel-chair compliance and move smoothly from alerting to investigation to reporting - all with one vendor.

Differentiating features

Highly secure: Client data is held on Bloomberg’s large private network with proprietary multifactor biometric authentication. All data is stored in dedicated data centers operated by Bloomberg.

First-class service: Unlimited access to dedicated 24/7 global account management and support teams to help with onboarding and training.

Flexibility: Set up permissions, groups and policies tailored to your supervisory and regulatory framework. Unlimited user licenses are included in your enterprise subscription for maximum flexibility.

Powerful infrastructure: Bloomberg’s infrastructure supports 325,000+ Terminal users, including many of the top global financial firms that use Vault.

Capturing, archiving and administrating compliance-related data

Data sources

All compliance programs need high-quality data. Bloomberg Vault's premium offering can collect and aggregate primary sources of Bloomberg originated and corporate data needed for supervision and surveillance programs:

- **Bloomberg data:** Bloomberg Vault is fully integrated with Bloomberg Terminal communication channels and can capture data such as Message (MSG), Instant Bloomberg (IB), NOTE and more, in real time.
- **E-communications data:** Bloomberg Vault can capture and archive structured and unstructured communication data from corporate email, messaging, social media and chat platforms (e.g., MSFT Teams, Skype for Business, Reuters, WhatsApp, etc.).
- **Trade data:** Bloomberg Vault captures pre-trade and trade execution data from Bloomberg's own trading systems (TOMS, AIM, etc.). In addition, most third-party order management systems are supported through FIX, FIXML and Bloomberg CSV formats.
- **Voice data:** Voice recordings and metadata are captured in Bloomberg Vault through strategic partnerships with industry voice recorders in various voice channels (traditional phone systems, mobile phones, turrets, VoIP, etc.).

Immutable storage and retention

Bloomberg Vault's premium archival solution delivers immutable storage (i.e., write once, read-many or "WORM") across business critical data types (communications, trade, voice). Customers can select their own data retention periods to ensure data is stored on WORM for the period of time required by their regulators.

Administration and entitlements

The Bloomberg Vault premium offering provides control owners with powerful governance tools and resources to oversee users, groups and policies.

- Review access and change users' enablement scope across products and services.
- Create and maintain surveillance groups.
- Apply real-time and preventative policies to users.
- Organize controls by jurisdiction across a firm.

Perform deeper surveillance and analysis, extract business value

E-communication surveillance

To help meet regulatory surveillance and internal supervision requirements, Bloomberg's Vault Surveillance is a powerful solution that generates alerts across both Bloomberg and non-Bloomberg datasets to surface potential risks and threats.

- 40+ out-of-the-box surveillance policies that can be applied in real time to Bloomberg messages and chats and in near-real time to corporate communications.
- Customized policies to reduce false positives and help meet regulatory requirements, corporate compliance and data security needs.
- Configurable review hierarchies, escalation workflows and robust reporting that create an efficient compliance environment.

The screenshot displays the Bloomberg Vault Surveillance interface. At the top, there is a navigation bar with 'SURVEILLANCE' on the left and 'Review', 'Manage', and 'Report' in the center. The 'Bloomberg VAULT' logo is on the right. Below the navigation bar is a blue header with the word 'REVIEW'. The main content area is divided into two columns: 'MY QUEUES' and 'STANDARD QUEUES'. Each column contains several queue entries with details like status and timespan.

MY QUEUES	STANDARD QUEUES
Heightened Supervision STATUS: Flagged TIMESPAN: Last 30 days	Unreviewed Events STATUS: Not Reviewed TIMESPAN: Last 7 days
Frontrunning POLICIES: Frontrunning TIMESPAN: Last 30 days	Flagged Events for Last 30 Days STATUS: Flagged TIMESPAN: Last 30 days
JULY STATUS: Flagged, Resolved, Not Reviewed TIMESPAN: Start: 2018-06-01 00:00 End: 2018-06-30 00:00	All Events in last 24 Hours TIMESPAN: Last 24 hours
Unreviewed Events Copy STATUS: Not Reviewed TIMESPAN: Last 7 days	
Flagged TIMESPAN: Last 30 days INCOMING MESSAGES: External Senders	
New Queue POLICIES: Inside Information - Issuers/Securities	

Bloomberg Vault's e-communication surveillance tool allows you to investigate potential risks and threats.

E-discovery and case management

Bloomberg's Search and Export applications allow premium users to conduct recurring procedure-based searches, compliance ad hoc searches and deep-dive reviews/investigations.

- Streamline e-discovery workflows throughout early case assessment with investigation, collection and reporting tools.
- Export data in various formats for additional analytics, litigation and/or regulatory needs.
- Utilize case management to organize and track user-based searches and tasks, plus downloadable audit reports available for every search to help you reconcile.

Trade archive and reconstruction

Bloomberg's Trade Archive allows premium users to view trade records from multiple order management systems in a single consolidated view. Users can trace a trade through its life cycle - from initial quote to order creation and all updates to the order - following the routes of that order and its subsequent fills or executions.

The Trade Archive solution can be paired with Bloomberg Vault's premium communications storage solution to help with trade reconstruction.

Take the next step.

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

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