

Verint Risk and Compliance for Financial Trading

Evolving financial regulations, consumer protection legislation, and the risks – and penalties – associated with fraud have made compliance a top priority in financial trading organizations. Capturing interactions is one part of the challenge. Securely retrieving and analyzing that information for trade surveillance, trend analysis, and trade reconstruction are equally important.

Verint® can help. With over two decades of experience as a leading provider of compliance recording, we are the provider behind the recording solutions offered by the top two global trading turrent vendors. Our **Verint® Risk and Compliance for Financial Trading™** is an enterprise solution designed to help trading compliance officers ensure compliance with financial regulations, adhere to internal procedures, and demonstrate best practices to regulators. It can deliver even greater value when leveraged with Verint solutions for speech analytics, text analytics, desktop and process analytics, encryption management, and case management.

The solution can capture and tag calls across traditional TDM, IP, mobile, and mixed telephony trading platforms. It can record calls automatically from any trading position or telephone extension based on business requirements. It can also capture text-based interactions pertaining to trades, such as email, SMS messages, and IM chat sessions. If Verint Desktop and Process Analytics™ is in use, additional data elements such as Swap ID can be automatically tagged to provide consolidated visibility to screen and voice activity across related trades.



Verint Risk and Compliance for Financial Trading can help you meet your organization's trade surveillance requirements and better ensure compliance with industry regulations and best practices.



Key Benefits

- Helps trading room and back-office operations comply with financial regulations and procedures.
- Facilitates trade surveillance by applying optional speech and text analytics to large volumes of interactions to quickly surface patterns of interest.
- Helps reduce the hardware footprint, technical infrastructure, and operations costs associated with financial compliance recording.
- Enables you to leverage existing investments in recording infrastructure and connects to a wide range of risk, trade surveillance, and e-discovery tools.

Gain Insight into Trading Floor Activities

Verint Risk and Compliance for Financial Trading offers a range of functionality, including:

- **Compliance Recording** — The solution is fully certified and integrated with leading trader voice and PBX systems for the back office. It can support up to 1,000 concurrent recording channels on a single server, which can dramatically reduce the hardware footprint and energy costs associated with financial compliance recording. In addition to voice, the solution supports screen, instant message, mobile phone, SMS, and data recorders. It can scale easily and support thousands of channels, which can reduce the cost of your technical infrastructure.

Since Verint Risk and Compliance for Financial Trading uses the same servers for both TDM and IP recording, you can continue to leverage your server investment if you migrate to IP recording. You can deploy it on industry-standard servers and implement it as a fully virtualized solution, which can offer cost savings for provisioning, maintenance, and disaster recovery. Recording redundancy enables recording to continue in the event of a server failure. For mission-critical applications, the solution can be deployed to be highly resilient and fault-tolerant.

- **Replay Approval** — For access to recordings in a compliance environment, Verint Risk and Compliance for Financial Trading includes a replay approval feature that automatically forwards trader requests for access to calls to their managers for approval.
- **Risk Management** — As a fully integrated application within the Verint platform, the solution can allow access to speech transcription, categorization, and all related call events. It can enable calls of interest to be placed into folders for further analysis.
- **Communications Surveillance Analytics** — Verint Risk and Compliance for Financial Trading can leverage other Verint solutions or connect to non-Verint recording infrastructures to provide analytics for trade surveillance.

By leveraging Verint Speech Analytics™ and Verint Text Analytics™, the solution can automatically categorize fixed and mobile phone calls and email/SMS messages, IM chat sessions, and other text-based interactions based on predefined criteria, such as contextual cues and keywords.

Trending analysis can surface upticks in the usage of certain phrases or activities automatically, without the need for you to predefine the terms. This can enable you to detect suspicious phrases and hone in quickly on the interactions associated with them. The solution's case management capabilities can facilitate trade surveillance by providing the output from speech and text analytics to compliance teams in a secure, auditable manner.

- **Data Storage and Retrieval** — Verint Risk and Compliance for Financial Trading can archive calls to local or centralized storage. Network storage options such as SAN, NAS, Hitachi Content Platform (HCP) and EMC Centera® provide reliable, secure storage and online archiving.
- **Administration and Reporting** — The solution's browser-based interface enables centralized administration across multiple sites. Licenses can be dynamically reallocated across sites and recorders, helping reduce operational costs in enterprise deployments. A comprehensive reporting module provides detailed recording statistics, down to the user level, as well as auditing system access and logging of system changes.
- **Encryption Management** — Verint Risk and Compliance for Financial Trading uses AES 256 encryption to protect data when recorded, in transit, and archived. This optional functionality includes an industry-standard key management system from RSA, enabling you to store, move, and archive encrypted customer data while protecting it from unauthorized access.

Benefit from World Class Consultants

Verint offers a range of Professional Services to help you get the most from your investment, including Business Advisory Services, Implementation and Enablement Services, and Application Managed Services. Regardless of the services you select, you can be confident that our experienced teams offer practical knowledge and are committed to your success.

Verint. Powering Actionable Intelligence®

Verint® is a global leader in Actionable Intelligence® solutions with a focus on customer engagement optimization, security intelligence, and fraud, risk and compliance. Today, more than 10,000 organizations in 180 countries — including over 80 percent of the Fortune 100 — count on Verint solutions to make more informed, effective, and timely decisions.

Americas

✉ info@verint.com

☎ 1-800-4VERINT

Europe, Middle East & Africa

✉ info.emea@verint.com

☎ +44(0) 1932 839500

Asia Pacific

✉ info.apac@verint.com

☎ +(852) 2797 5678

🌐 verint.com

🐦 twitter.com/verint

📘 facebook.com/verint

📡 blog.verint.com

Unauthorized use, duplication, or modification of this document in whole or in part without the written consent of Verint Systems Inc. is strictly prohibited. By providing this document, Verint Systems Inc. is not making any representations regarding the correctness or completeness of its contents and reserves the right to alter this document at any time without notice. Features listed in this document are subject to change. Not all functionality is available in all configurations. Please contact Verint for current product features and specifications. All marks referenced herein with the ® or TM symbol are registered trademarks or trademarks of Verint Systems Inc. or its subsidiaries. All rights reserved. All other marks are trademarks of their respective owners. © 2016 Verint Systems Inc. All Rights Reserved Worldwide. 07.2016