# Compliance, risk & control framework

Changing regulatory requirements, new communication platforms and rapidly growing data volumes can make compliance a daunting task. Enterprises are struggling to manage surveillance and investigations across various communication sources, and managing trade data further exacerbates the issue. 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. A complex and dynamic regulatory environment requires an integrated, up-to-the-minute approach to compliance.

| Supervision & surveillance | Investigation | Reporting | Recordkeeping |
| --- | --- | --- | --- |

## Trade lifecycle

| Monitoring trades for: | Investigate exceptions with: | | Immutable storage of trade data |
| --- | --- | --- | --- |
| • Best execution | • Bloomberg market data and news | • Trade performance | |
| • Market abuse | • E-communications | • Transaction cost analysis | |
| • Conflicts of interest | • Voice logs | • Trade reconstruction | |
| • Suspicious transactions | | • Approved Reporting Mechanism (ARM) | |
| | | • Approved Publication Arrangement (APA) | |

## Communications – Email, voice & instant message

| Monitoring corporate, third party and Bloomberg communications for: | Respond to legal eDiscovery or regulatory requests or investigate conduct risk issues | • Review process, audit trail, policy effectiveness | • Immutable storage of e-comms and voice call recordings |
| --- | --- | --- | --- |
| • Conflicts of interest | • Content search | • Letters of undertaking | |
| • Conduct risk | • Participant logs | • Regulatory reporting | |
| • Data loss prevention | | | |
| • Market abuse | | | |

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## 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.

## Learn more

For more information, contact your regional representative to schedule a personalized demonstration.

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## Take the next step.

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

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