

Verint for Financial Compliance

Financial regulations, consumer protection legislation, and the risks – and penalties – associated with fraud have made compliance a top priority in financial trading organizations. Increasingly, organizations want to capture *all* of the interactions related to financial transactions, including communications among traders, customers, and back-office staff – across phones, mobile devices, messaging systems, and email.

Verint can help. We have over two decades of experience as a leading provider of compliance recording and are the provider behind the recording solutions offered by the top two global trading turrett vendors. Our **Verint® for Financial Compliance™** is an enterprise, multichannel solution designed to help trading risk and compliance officers ensure compliance with financial regulations, adhere to internal procedures, and demonstrate best practices to regulators. When leveraged with other Verint solutions for speech analytics, text analytics, desktop and process analytics, encryption management, and case management, it can deliver even greater value for trade surveillance.

Verint for Financial Compliance can record all calls reliably from communications devices used by traders, including dealer boards, traditional PBX telephones, softphones, and mobile devices. It can also capture video and text-based interactions pertaining to trades, both on the trading floor and in back-office operations.

Additional enterprise communications, such as email, SMS messaging, and IM chat – as well as Skype® for Business and Cisco Unified Communications – can all be brought together in Verint's single, unified multichannel recorder. If Verint Desktop and Process Analytics™ is in use, additional data elements can be automatically tagged to provide consolidated visibility into screen and voice activity across related trades.



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



Key Benefits

- Provides a single, enterprise recording platform to help trading room, contact center, and back-office operations comply with financial regulations and procedures by capturing voice, text, and video interactions across multiple channels, including PBX, chat, digital collaboration, email, video conferencing, mobile voice/SMS, face-to-face, and unified communications.
- Facilitates trade surveillance by applying optional speech and text analytics to large volumes of interactions (including historic and non-Verint recorded data) 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 for Financial Compliance 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. In addition to providing synchronized digital recording and real-time monitoring, it works with most major telephony and unified communication environments and offers application programming interfaces (APIs) to facilitate integration with proprietary systems.

Verint for Financial Compliance can support up to 4,000 channels on a single server, helping to reduce the space, energy, and maintenance costs associated with traditional, multi-server recording systems. Unlike solutions that capture mixed / monaural audio, it can capture full, unmixed, bidirectional voice, which can significantly enhance sound quality. Moreover, 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, and the solution can be deployed to be highly resilient and fault-tolerant.

- **Risk Management** — As a fully integrated application within the Verint platform, the solution provides a single user interface for searching and replaying all interaction types. It can allow access to speech transcription, categorization, and all related call events, and can enable interactions of interest to be placed into folders for further analysis.
- **Data Storage and Retrieval** — Because Verint for Financial Compliance uses standard Windows® file storage, it can scale to hundreds of terabytes. You can include any combination of audio, screen, video, text, application files, images, messages, and model files. Integration with large storage providers, including cloud storage providers, offers reliable, secure storage and online archiving to help meet the needs of your business. You can even select options for making recorded data available outside of the Verint recorder in non-proprietary formats.

- **Communications Surveillance Analytics** — Verint for Financial Compliance can leverage other Verint solutions (available as options) 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. 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.

- **Localization** — To facilitate localization, the solution's user interface (and Verint Speech Analytics) can support many languages.
- **Encryption Management** — The solution offers FIPS-compliant encryption using AES-256 with true end-to-end encryption to protect data as it's recorded, moved to archive, or retrieved during replay. This optional functionality includes a separate key management system, enabling you to move, archive, and store recorded 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 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 over 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

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facebook.com/verint

blog.verint.com

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