

Verint Financial Compliance Archive

As communications channels for finance and trading grow, so does the demand from regulators to store interactions and have them readily available as long as required by law. Retaining, managing, and consolidating regulated voice and electronic communication records into a secure archive for retrieval, playback, and analysis are critical for responding to compliance requests quickly and effectively — and reducing risk for your business.

Verint® Financial Compliance Archive™ is an enterprise, multivendor-compatible solution designed to help financial organizations retain, retrieve, and manage recorded voice and electronic communications data from the trading floor, branch, and back office. It securely stores records and the related metadata originating from trader voice, unified communications and collaboration, and mobile platforms. Consequently, it can enable businesses to adhere to record-keeping, communications surveillance, and information security mandates imposed by financial regulations, data protection laws, and government policies. You can:

- Store records to a wide set of industry standard NAS, SAN, and DAS storage systems.
- Centrally configure and automate storage and retention rules down to a per-user level.
- Retain all records in an immutable, tamper-proof format.
- Quickly search, retrieve, and replay voice, text, video, screen activities, and content to reconstruct the complete communication chain related to a trade.
- Ensure that no recording is altered or deleted under legal hold during litigations and audits.
- Automatically categorize communications records.
- Run quality checks on regulated personnel to improve compliance processes.
- Secure recordings by controlling access to, encrypting, and digitally signing data.
- Keep track of the lifecycle of your archived media end-to-end with audit logs.

It's a practical way to help you simplify, modernize, and automate records retention and data governance.

VERINT.



Now you can:

- Retain and store your omnichannel communications and collaboration in a secure and easily retrievable way for as long as prescribed by regulatory guidelines.
- Facilitate conformance with financial record keeping and trade surveillance policies under MiFID II, Dodd-Frank, MAR / MAD II, and more to avoid non-compliance fines and penalties.
- Accelerate compliance investigations and provide regulators with complete records of trade-related interactions in a timely manner.
- Save costs and drive efficiency by leveraging simplified administration, streamlined conversation retrieval, automated rules, and a wide set of external storage integrations.

Verint Financial Compliance Archive

Keep Your Recorded Data in Safe Hands

Your compliance, risk, and IT teams can use the solution as an end-to-end data management framework. You can easily set retention policies; protect data with strong security mechanisms; control access to your interactions; and search, replay, and categorize recordings or specific events in a recording — all from one, intuitive user interface.

Verint Financial Compliance Archive is tamper-resistant and provides robust functionality to:

- Import data from multiple collaboration platforms and Verint or non-Verint recorders.
- Retrieve and play back conversations on a single interface.
- Leverage approval workflows and configure authorization requests for full access control.
- Collaborate on compliance cases with streamlined categorization.
- Speed up compliance investigations with real-time alerts.
- Ensure your regulated personnel are being recorded.
- Use advanced export to provide the regulators with auditable datasets.
- Gain a single view of all events, recording metrics, and system usage.

The solution offers sophisticated data retention and retrieval functionality for all recorded channels. This helps your organization ensure the data is accessible and readily available upon a regulator's request while supporting your trade reconstruction and communications surveillance efforts.

Simplify Records Management

Designed to help banks, investment firms, and trading floors meet strict regulatory regimes, the solution provides the means to consolidate and preserve records in a single archive for any legally prescribed period. You can automatically configure data retention rules and apply advanced labeling to identify potential anomalies on the go.

The platform allows your team to centrally manage media files, thus easing administration and records management. Supported by a wide set of open integrations with third-party storage solutions — such as “Write Once Read Many” (WORM) archives and cloud-based storage targets — your business can keep using proprietary infrastructure and save significant costs associated with long-term archiving.

Support Compliance Excellence

Verint Financial Compliance Archive also helps your compliance officers and analysts become more efficient and agile in fulfilling compliance requests and managing the recorded data lifecycle. To help unlock actionable intelligence, the platform provides customizable dashboards and advanced reporting that offer a holistic view of actions, flagged events and trends, and drill-down to specific cases and compliance breaches.

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.

The Customer Engagement Company™

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. © 2018 Verint Systems Inc. All Rights Reserved Worldwide. 09.2018

VERINT®