

Verint Financial Compliance

Financial services firms must comply with regulations, such as MiFID II and the Dodd-Frank Act, while remaining competitive in the markets they serve. Increasingly, they're replacing legacy solutions with technology for managing compliance risk holistically. These compliance and automation tools can capture trade-related interactions, improve operational oversight, avoid issues before they occur, and reduce the total cost of compliance.

Verint® Financial Compliance™ can help your business navigate the complexity of today's evolving regulatory landscape. This set of end-to-end solutions can help you capture, retain, monitor, control, search, and analyze voice and electronic communications across leading trader voice, unified communications, mobile, and PBX telephone platforms.

Unlike traditional compliance solutions, it can provide automated operational verification and proactive compliance features, along with an open and vendor-independent approach to facilitate integrations. It's a practical solution to help front, middle, and back-office operations prevent compliance failures, strengthen communication governance and surveillance, and automate compliance processes. You can:

- Record, archive, and retrieve all financial transaction-related interactions among traders, back-office personnel, and external parties across a wide set of communication modes.
- Be better prepared to adhere to regulatory mandates that impact your communication environment and mitigate the risk related to the change of personnel, policies, and applications.
- Ensure communication streams, recording platforms, and the underlying infrastructure are configured correctly, perform as required, and operate in accordance with policy.
- Prevent compliance failures from putting your business at risk by proactively regulating the scope of authorized interactions and content while enforcing policies down to a user level.
- Fulfill trade reconstruction and audit requests quickly by analyzing of huge quantities of unstructured interaction data and detecting suspicious activities in real time.

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Now you can:

- Drive adherence to financial services regulations to avoid fines, penalties, and reputational damage.
- Build a holistic, open standards compliance infrastructure that accommodates third-party integrations and flexible deployment options, and can adapt as your business grows.
- Leverage automation to reduce the cost and improve the efficiency of your compliance management and infrastructure monitoring efforts.
- Take a proactive approach to compliance and drive continuous monitoring to detect and reduce the potential for compliance issues.

Verint Financial Compliance

Tackle Regulatory Compliance through Automation

Verint Financial Compliance provides reliability, automation, and scalable architectures to meet the sophisticated compliance requirements of your organization. It can enable you to take an efficient approach to compliance and reduce operating costs by reducing or even removing the need for manual processes — from record keeping and compliance investigations to real-time monitoring and verification.

This holistic set of leading financial compliance solutions comprises a range of functionality:

- **Communication Capture and Governance** – Provides omnichannel compliance recording, long-term records retention, secure data management, automated categorization, and auditable retrieval for regulated interactions from any stage of the trade lifecycle. Leading trading turrent solutions, UC and collaboration tools, public mobile networks and PBX telephony are all supported including IPC®, BT®, Speakerbus®, Microsoft® UC, Cisco® Collaboration, Symphony, and other vendors. The platform can centrally capture voice, IM, SMS, video, screen activities, and content sharing and store them in an easily navigable repository for later retrieval.
- **Proactive Compliance** – Helps prevent compliance failures from happening through preventative mechanisms and proactive policy enforcement. Provides the means to set up communication and content boundaries (“ethical walls”) among teams and individuals; establish policy rules for users, groups and devices; and automatically detect whether these are correctly implemented and applied across all regulated systems, for all transactions.
- **Automated Testing and Monitoring** – Automatically tests, monitors, verifies, and reports on the health, performance, and functionality of your critical communications and recording infrastructure, across a range of technologies, vendors, and channels. Enhances compliance assurance and operational oversight by helping ensure that applications, processes, and devices are fully operational and adhere to internal standards and external regulations.
- **Transcription and Compliance Investigation** – Helps make sense of unstructured voice streams while accurately reconstructing trade-related conversations and surfacing non-compliant activities. Provides phonetic search, AI-driven speech transcription, and phonetic boosting tailored for financial services environments. Offers a single search and playback interface for all interaction types combined with case management functionality, to help your teams address complex trade surveillance requirements and demonstrate compliance in response to financial regulator’s requests.

To address an even greater breadth and depth of the financial services and trading compliance landscape and augment the solutions we offer, Verint has established a partner ecosystem. Comprised of leading regulatory technology companies, this alliance offers complementary services and solutions to help support your long-term compliance strategy.

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™

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