

# Verint Financial Compliance Policy Check

In financial services and trading floor environments regulated by MiFID II, the Dodd-Frank Act, and other sets of legislation, there are requirements to ensure transaction-related interactions are recorded and regulators notified in a timely manner when communication records are lost during an incident. Failure to comply with these obligations can have a severe impact on your business and can carry heavy fines and penalties.

Verint® Financial Compliance Policy Check™ offers a comprehensive, real-time tracking, alerting, and policy matching solution for omnichannel conversation recording across trading room, enterprise voice, contact center, and other financial services environments. This solution provides reliable testing and monitoring of all events originating from critical communication systems, while actively comparing them to the applicable recording policy and the number of calls captured by the recording platform.

The solution constantly logs and compares information behind the scenes of all communications entering and leaving a recording environment, against conversations that have been recorded in line with the policy in place. If it detects an irregularity, mismatch, failure against policy, or missing calls, it raises an alarm and alerts users immediately. This allows investigation and potential suspension of trading on an affected endpoint, helping organizations avoid breaches in regulatory compliance.



## Now you can:

- Automatically monitor every recorded call in near-real time across multiple telephony, unified communications, PBX, and trading turret environments.
- Avoid the negative consequences of non-compliance by being alerted to missing or incomplete conversation records.
- Lower operating costs, increase operational oversight, and shorten response times through automated testing.
- Rest assured critical communications are being handled as per recording policy.

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## Apply Active Checks and Balances

Verint Financial Compliance Policy Check can act as your eyes and ears, helping ensure calls are being recorded continuously, in line with your policies. It can accurately track recording via multiple systems spread across various locations, including globally deployed audiovisual infrastructures from trading rooms, voice recorders, and telephony environments, no matter the volume of regulated endpoints or recordable interactions.

The solution can deliver a level of oversight and regulatory audit point evidence against the overall voice recording environment that would be difficult, if not impossible by manual testing alone. It can help your financial firm avoid significant financial consequences by eliminating the blind spots caused by missing or incomplete communication records and the late detection of call recording failures during investigations.

## Verify Recording Automatically

Using Verint Financial Compliance Policy Check, your business can leverage robust, reliable monitoring to help ensure every call is recorded against policy. This scalable solution provides an intuitive dashboard view of call recording issues within the system and the affected elements of the interaction. Furthermore, your business can:

- Receive alarms and a continuous log of all conversation detail records (CDR) that have been generated, but not indicated on the recording platform (lost call).
- Cross-check the calls generated by the recording system and the calls recorded by the associated voice loggers in real time.

- Actively verify calls generated by the recorded system.
- Proactively check incoming and outgoing calls and apply real-time call trending.
- Confirm calls are received from the gateways/PBX and the servers.
- Compare the length of calls seen at the PBX with those actually recorded.
- Provide Mean Opinion Score (MOS) for each call across PBX vendors.

The solution is an integral part of our Automated Verification offerings, which provide a cohesive, unified response to evolving regulatory demands in the financial services industry. They deliver improved operational intelligence to help businesses manage risk, foster compliance assurance, and leverage end-to-end automation through a scalable, resilient architecture.

## 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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