

Verint Financial Compliance



Now You Can:

- Capture voice, persistent chat, video, screen activity and content sharing across multiple channels – including market-leading unified communications and collaboration tools such as Microsoft Teams® and Zoom, trading turrets, PBX, and mobile platforms—with an integrated recording solution.
- Facilitate compliance with financial recordkeeping and communications monitoring policies under MiFID II, MAS, ASIC, MAR/MAD II, and more to avoid hefty fines and penalties.
- Record and easily retain the entire chain of trade-related interactions on the trading floor and in the back-office to help meet trade reconstruction and investigatory obligations.
- Reduce your hardware footprint, technical infrastructure, IT workload, and operating costs associated with financial compliance recording.

The number of communications channels involved in financial trading has increased dramatically, expanding from just voice to include different forms of chat, video calls, screen activities, and other collaboration modes. In response, regulators are passing new legislation to address recordkeeping, communication surveillance, and risk management obligations. This creates complex compliance challenges for financial firms that must capture all interactions that are or could potentially be related to transactions – whether they occur on trading turrets, mobile phones, unified communications (UC) tools, or other communication channels.

Verint® Financial Compliance™ is an integrated, secure compliance recording solution for capturing voice, SMS, persistent chat (including modern attachments like GIFs and memes), screen and application sharing, video conferencing, file transfer, and other means of collaboration in financial trading and back-office environments. It supports IPC®, BT® IP Trade™, Cloud9®, Speakerbus®, and other dealerboard and trading communications systems and can reliably capture conversations from Cisco® Collaboration, Microsoft® Teams, Zoom (both Meeting and Phone), Avaya®, and more, from PBX telephony to UC and public mobile networks.

Verint Financial Compliance provides a single recording solution that can help you bring regulatory compliance, liability protection, and collaboration capabilities together across your organization. Trusted by banks, trading rooms, and investment firms, the solution records interactions automatically across all regulated users and captures what was said related to a transaction, at any stage of the trade lifecycle. This practical solution can enable you to comply with stringent recordkeeping and trade monitoring policies, such as MiFID II, MAR/MAD II, MAS, ASIC, Dodd-Frank, and more.

Augmented by the advanced data retention, retrieval, and governance capabilities within our Advanced Archive module (licensed separately), Verint Financial Compliance can make adhering to regulations easier and help your compliance teams fulfill audit and regulatory requests more efficiently.

VERINT®

Verint Financial Compliance

Meet Your Omnichannel Recording Needs

Verint Financial Compliance provides trusted compliance recording technology based on open APIs. It can seamlessly integrate with your existing infrastructure while helping you adhere to regulations and standards, either as a single, multi-site, or global deployment. It offers advanced recording capabilities to help your organization fulfill complex regulatory obligations:

- **Versatile Compliance Recording** – Supports various recording modes—always-on and on-demand—and multiple methods, such as passive, proxy-based, network-based capture.
- **Multiple Conversation Scenarios** – Steadily captures internal, external, Public Switched Telephone Network (PSTN), conference, federated and mobile interactions.
- **Call Blocking on Recording Failure** – Blocks call establishment when the recording service is not available for any reason.
- **Recording Announcement** – Allows users to easily set up voice announcements for conference, PSTN and federated calls.
- **Recording Assurance** – Allows augmentation with conversation records and voice quality checks to help ensure all calls are readily available at the required quality.
- **Compliance Storage Integrations** – Allows conversations to be stored in multiple third-party cloud storage and Write Once Read Many (WORM) archive solutions.
- **Flexible Deployment Options** – Can be deployed in the cloud or on-premises.
- **Speech and Biometric Analysis** – Can be deployed in the cloud or on-premises to provide transcription in 30 languages and dialects (including multilingual conversations), natural language processing, and speech analytics categories pretrained for financial services (requires separate license).

Reduce the Total Cost of Compliance

With Verint Financial Compliance, your organization can provide complete records of trade / conduct -related communications from thousands of channels at multiple sites. It offers a single point of administration and a centralized view across your deployment, helping you tackle the complexity posed by multiple proprietary systems while reducing the effort and cost associated with ongoing maintenance. It can help your business significantly reduce the hardware footprint, technical infrastructure, IT workload and operating costs associated with financial compliance recording.

The solution can be deployed on industry-standard servers and implemented as a fully virtualized solution to gain cost-savings for provisioning, maintenance, and disaster recovery. Recording redundancy and high availability options enable recording to continue in the event of a server failure, and the solution can be deployed to be highly resilient and fault-tolerant.



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Americas

info@verint.com
+1 770 754 1900
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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