

IPC & Verint Financial Compliance Solutions

IPC

Solution sheet

VERINT

Now you can:

- Drive compliance with relevant financial services and trading regulations for communications recordkeeping, monitoring and data protection to avoid fines, penalties, and reputational damage
- Build a holistic, API-first compliance infrastructure that accommodates open integrations and flexible deployment options and can adapt as your business grows.
- Leverage the partnership between IPC and Verint to reduce the cost and improve the efficiency of your compliance management and communication capture, data governance and data analysis efforts.
- Benefit from proven capabilities designed specifically for the financial markets to help reduce regulatory risk or exposure across IPC trader voice interactions and a variety of other communications and collaboration channels.

From on-site locations and remotely, investment firms and trading organizations increasingly leverage real-time communications and collaboration to stay connected with colleagues, clients, and counterparties. At the same time, growing regulatory demand, industry standards and codes of conduct for recordkeeping, monitoring and secure data governance are forcing them to record and make sense of voice trading activity, while keeping trade-related communications within compliance boundaries.



The partnership between Verint and IPC provides your business with proven solutions for compliant and secure trading communications while enabling robust, highly available trading workflows in today's digital era. **Verint® Financial Compliance Capture™** is a comprehensive solution that helps you capture, retain, monitor, control, retrieve, and analyze interactions from the IPC **Unigy®** trading communications solution alongside other trader voice, unified communications, mobile, and telephony environments.

Proven successful with deployments at global banks, investment firms, asset managers, hedge funds and other financial institutions, it can help your business manage compliance complexities across all regulated voice calls via IPC Unigy and other interactions streams. Designed with compliance, IT and risk teams in mind, Verint Financial Compliance Capture can help manage, categorize, search, replay, investigate and seamlessly export interaction streams that should be retained in an easily retrievable format for later analysis, structuring, and evidencing.

It's a practical solution to prevent compliance failures, strengthen communication governance, improve compliance oversight and automate compliance processes. You can:

- Securely record, archive, monitor and retrieve all interactions by your regulated personnel from a variety of channels throughout the trade lifecycle.
- Enable compliance with records retention, data governance and surveillance rules under strict financial regulations, such as MiFID II, MAR, and the Dodd-Frank Act.
- Accelerate call search, playback, review for deeper analysis and trade reconstruction.
- Make data management and records retrieval faster and easier.
- Facilitate investigations, voice analysis, data lifecycle and collaborative case management.
- Leverage streamlined integration with communication surveillance and risk monitoring solutions for compliance oversight.

IPC & Verint Financial Compliance

Unify Your Communication Compliance Efforts

Verint's financial compliance solution framework is based on open APIs, so it can seamlessly integrate with your existing infrastructure. Deployed on premises, in the cloud, or as a hybrid solution, it can natively record real-time communications from IPC dealerboard devices and virtual trader voice clients along with an array of communication features from other UC, trader voice, mobile and telephony solutions. It offers a broad range of compliance capabilities, including:

- **Versatile Data Capture** – Offers certified, highly resilient (2N) and integrated capture of high volumes of voice streams and metadata while providing an optimized trader voice data model, automated voice inactivity detection and media segmentation capabilities.
- **Robust Data Management** – Provides comprehensive features to set up granular policies for records retention while storing data in a single, easily navigable repository for instant search and playback.
- **Cognitive Capabilities** – Facilitates voice transcription with Verint and third-party engines, data tagging, and advanced search for rapid data discovery and analysis.
- **Data Intelligence** – Provides real-time, customizable dashboards and reporting to give real-time oversight and a "single-pane-of-glass" view of your compliance infrastructure.
- **Compliance Store Integrations** – Allows recorded data to be stored on premises or on multiple third-party cloud storage and Write Once Read Many (WORM) archive solutions.
- **Cross-Platform Compatibility** – Enables interactions from IPC to be stored, managed, and analyzed along with data from other UC, trading turret, mobile, and IP telephony environments.

- **Assurance and Data Integrity** – Helps ensure data protection with encryption, digital signage, role-based access control, authentication workflows, and other security mechanisms.
- **Open APIs** – Makes captured voice records available for external platforms for communications monitoring, trade surveillance, trade reconstruction, and behavioral analytics.

A Simplified Approach to Trading Compliance

Verint Financial Compliance Capture offers unified recording of multiple communications environments, a single point of administration, and a centralized view across your deployment. It can help you tackle the complexity posed by multiple proprietary systems and reduce the effort and cost associated with deployment and ongoing maintenance. It can also help reduce the hardware footprint, technical infrastructure, IT workload, and operating costs associated with compliance recording and data management. Proven by successful deployments at leading investment firms and financial institutions, the solution is available with named user-based licensing instead of a channel-based approach to support cost efficiency.

Better still, Verint's holistic set of financial compliance solutions include a range of additional functionality to help your business prevent compliance failures from happening through proactive communication policy enforcement (ethical walls) and to automatically test, monitor, verify and report on the health, performance, and functionality of your critical communications and recording infrastructure, across a range of technologies, vendors and channels to manage operational risk in your environment.

About IPC

IPC is a technology and service leader that powers financial markets globally. We help clients anticipate change and solve problems, setting the standard with industry expertise, exceptional service and comprehensive technology. With customers first and always, we collaborate with each to understand their individual needs to help make them secure, productive and compliant within our connected community. Through service excellence, long-developed expertise and a focus on innovation and community, we provide agile and efficient ways for our customers to accelerate their ability to adapt to the ever-changing requirements for advanced data networks, compliance and collaboration with all counterparties across the financial markets.

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