

Verint Financial Compliance Ethical Wall

Many financial institutions are subject to complex regulations that cut across geographies and regulate their communications — internally, as well as externally with clients and counterparties. In these environments, the ability to proactively control omnichannel collaboration is key to preventing conflicts of interest, safeguarding ethical integrity, and mitigating compliance risk.

Verint® Financial Compliance Ethical Wall™ is a proven, robust policy enforcement and governance solution that can enable banks, trading houses, investment firms, and other financial services organizations to proactively apply communication and content policies across their organizations. The solution's protective technology automates rules enforcement over critical interactions among users, groups, and entities when using Cisco® Collaboration and Microsoft® Skype for Business. It can allow you to take a proactive approach to compliance while helping your business adhere to financial services codes of conduct, legal obligations, and regional regulatory demands.

Designed to prevent entities from communicating with each other in breach of applicable regulations and practices, Verint Financial Compliance Ethical Wall can enforce policy rules across different collaboration channels for ethical, privacy, and compliance reasons. It can apply secure control mechanisms to automatically allow, restrict, block, or notify users about specific operations between communicating parties.

The solution can help foster a culture of compliance that assures employees they are operating within the required boundaries. You can:

- Control who can talk to whom, and limit specific types of collaboration across teams.
- Block or redact text-based content shared via instant messaging.
- Restrict visibility and presence information about your users.
- Automatically notify parties about policies and potential violations.

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Now you can:

- Safeguard your business and customers from the consequences of regulatory non-compliance by preventing issues before they occur.
- Mitigate the risk of conflicts of interest and data leaks across voice calls, instant messaging, video, file transfer, and screen and content sharing.
- Enable your trading floor and back office to adopt the latest UC platforms —such as Cisco Jabber and Microsoft Skype for Business —in a compliant manner to avoid penalties and fines under MiFID II, Dodd-Frank, Sarbanes-Oxley, and more.
- Save time, resources, and costs that would otherwise be spent on corrective measures and reactive practices.

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Control Your Communications with a Proactive Approach

With Verint Financial Compliance Ethical Wall, you can gain a new level of control over communications, helping to avoid insider trading, conflicts of interest, and data leaks while mitigating the risk of litigation, fines, and reputational damage. Whether it's voice, text, video, screen, or file transfer, the solution can support your policy governance efforts across Cisco Jabber® and Skype for Business in a fully auditable fashion. It can enable your compliance team to work proactively to prevent issues, instead of focusing on corrective actions once a compliance failure occurs.

Go Beyond After-the-Fact Compliance

Verint Financial Compliance Ethical Wall incorporates a set of sophisticated features:

- **Session Policies** – Place one- or two-way boundaries on who can talk to whom and define which communication modes can be used by enforcing policies between groups or individuals across your organization. Automated, easily configurable “ethical walls” can help your businesses comply with regulatory obligations, eliminate conflicts of interest, and meet legal hold requirements. Administrators can even set up real-time permissions that can override communication policies in place to activate exception rules, down to a user level.

- **Content Policies** – Protect your proprietary and sensitive information and help prevent data leaks from within your company by automatically filtering, blocking, and redacting data from instant messaging. The solution helps prevent specific business-critical or confidential data in chat-based conversations from being shared, captured, and stored.
- **Presence Policies** – Safeguard the privacy of your users and prevent them from receiving unsolicited communications across collaboration channels by blocking and filtering presence information and contact list visibility.
- **Disclaimers** – Advise users of policies, rules, and restrictions by attaching disclaimers to instant messaging via easy-to-use templates. You can inform parties of confidentiality and liability limitations, or that interactions are being recorded for compliance purposes.

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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