

BT for financial services.

# BT Trading Compliance.

Helping customers face regulatory risks and challenges.



## The Challenge.

Financial services organisations need to address regulatory obligations whilst controlling costs. The cost of failure is high, potentially resulting in reputational damage. For regulated employees and senior management, rogue activity or systemic failures of oversight can result in criminal prosecutions.

As rogue behaviour adapts to circumvent detection, compliance officers must constantly evolve. Financial services organisations need to invest in their teams, in compliance tools and remove technology silos in order to protect against malpractice activities.

## Our approach.

We can help you move from a siloed set of compliance tools to a holistic suite of capabilities that enables your compliance and surveillance teams to become more effective.



## Capture.

BT has a 20-year heritage in the **capture** of call recording. Today we deliver both fixed and mobile recording solutions. We can help overlay smart tooling to undertake analytics on the voice itself, and efficiently extract this information into a single collection of data.

## Automated Compliance Assurance.

Our series of **automated tools** gives you the peace of mind that your trading floor is working to policy and quality. These tools help infrastructure teams demonstrate to both executives and regulators that a highly robust set of management oversight is in place, without a linear increase in human resources.

## Managed services.

We have a proven track record in delivering complex managed contracts. We can help provide:

- + Cost predictability, with ability to scale up or down
- + Robust governance introduced by the BT Quality management system
- + Management of non-BT assets as part of the end to end service
- + Global follow the sun Service Level Agreements that work across multiple BT services deployed in a managed service contract
- + Technology and strategic roadmaps including integration



## Surveillance and discovery.

We are able to identify and analyse the interactions among people, data, devices and applications. This allows compliance officers to understand the context of the millions of artefacts being captured and archived each and every day.

Surveillance and discovery tooling needs to address:

- Market manipulation
- Client data leakage
- IP theft
- Insider trading / MNPI
- Employee personal information
- Know your customer
- Wall crossings
- Cyber espionage
- Fraud & misappropriation
- Validation of best execution
- Anti-money laundering investigations

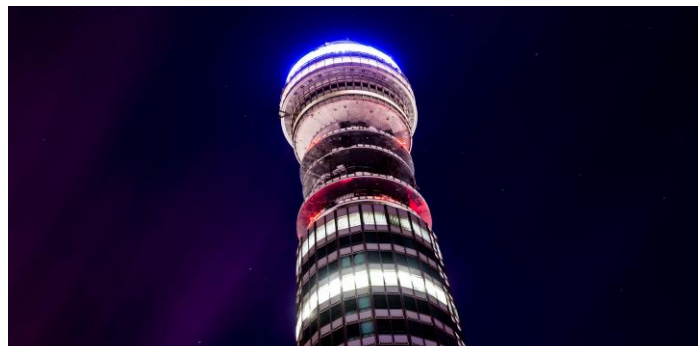
## Machine learning and predictive analytics.

The increase in computing power has enabled an age of machine learning and predictive analytics. Working with our partners we can deploy behavioural analytics spotting anomalous behaviour from within an organisation. By listening to and learning the patterns of behaviour being exhibited, we can learn what “normal” looks like, and as soon as behaviour deviates from the norm, analysts can be alerted and investigations started.

By reducing the amount of time wasted collecting information and discarding irrelevant “noise”, effort and energy can be focused on the actual investigation.

## Unlock the data that matters.

Combining smart, well-trained analysts with state of the art technology leads to improved performance. Working with our partners, our solutions have been designed to help you investigate data from multiple sources, allowing compliance and risk departments to access the information they need when they want it.



## Why BT?

Our ‘Cloud of Clouds’ strategy allows you to connect easily and securely to the surveillance and discovery applications and data you need, globally.

One in three trading floors globally use our design, deployment and management of trading compliance solutions including trader voice.

We have security subject matter experts to help train financial services surveillance officers to more quickly uncover the content and context of an investigation or an alert.

We work with a range of partners to deliver solutions working with your existing technology infrastructure.

## How can we help.

We start by understanding your current compliance tooling and the target state you want to reach. Then we identify where the greatest impact can be gained based on the business metrics you want to achieve.

We can help you to:

- Move from silos to a single, coherent approach
- Work in harmony with your existing surveillance tooling
- Leverage your own IPRs
- Qualify the return on investment (ROI)
- Invest at scale once ROI is compelling and proven.

For more information or to arrange an appointment, please contact your account manager. Or contact [mark.j.harrington@bt.com](mailto:mark.j.harrington@bt.com) and or [eugene.land@bt.com](mailto:eugene.land@bt.com)

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