

Compliance Archive

How electronic communications have evolved in the financial markets

The financial markets are evolving at an unprecedented pace and there are constant technology updates or evolutions to which all market participants need to adapt. In addition, today's regulatory environment demands evermore efficient and effective scrutiny of all e-communications, as a result of a fragmented landscape that encourages new ways of communicating and as a consequence of market-disruptive events that changed the way we used to work.

As regulators increase pressure on existing monitoring and surveillance tools, market participants face an increased challenge as they need to find solutions to improve their efficiencies, their reporting and transparency requirements, while at the same time reduce costs, maintain their reputation and above all, be compliant.

In partnership with Global Relay, Compliance Archive provides a unified archiving portal for your e-communications from more than 50 sources, to help you capture, archive, analyse and report your e-communications and trading activity in an efficient and compliant way.

Consistent and rigorous reporting in one archive

Consistently apply surveillance procedures by leveraging powerful archive tools – such as Policies, Advanced Search, Analytics and Case Management – to help you address regulatory demands while streamlining data management, storage, security and business continuity processes.

No more fragmented communication channels

You can archive, capture, analyse and report in a single portal your e-communications from over 50 data sources, including FXT trade activity, Messenger, Microsoft® Outlook®, WhatsApp, Slack, Microsoft® Teams, Skype™ for Business, Zoom, LinkedIn®, Twitter®, Voice and many others.

Increased transparency and reduced reputational exposure

Capture, retain and report all e-communications in a single archive for up to 12 years (seven years by default). This will enable your compliance and audit teams to meet global and regional regulatory requirements (ESMA, MiFID II record keeping and similar requirements from FINRA, MAS and others), helping to prevent fines and reputational damage to your organisation. With this open and flexible solution that suits any type/size of organisation you can access a fully hosted and agnostic compliance archive and monitoring solution for your e-communications that will help you enhance **workflows' efficiency** and reduce costs.



Benefits:

- Access to over 50 data sources in one unifying portal, including LSEG FX Messenger, Microsoft® Outlook®, WhatsApp, Slack, Teams, Skype for Business, Zoom, BBG chat/emails, LinkedIn, Twitter, Voice, and Text messaging (SMS)
- Immutable Golden Record, fully hosted avoiding costly and lengthy integrations
- Agnostic – can archive BBG chat/emails and list of other data sources **natively**
- Seven years archiving by default going up until 12
- Open and flexible solution with easy implementation that fits companies of all sizes and responds to their specific requirements
- A ready-built end-to-end integration service for FX Trading, Conversational Dealing and FX Matching

About LSEG FX

LSEG FX offers the world's leading independent source of trusted FX market insight, interbank and dealer-to-client electronic trading venues, workflow management, and post-trade and regulatory support for both sell-side and buy-side market participants.

The LSEG FX portfolio includes:

FXall

Dealer-to-client trading and workflow solutions for more than 2,300 institutions worldwide, including asset management firms, banks, broker-dealers, corporations and hedge funds, with liquidity from more than 200 bank and non-bank market makers.

Workspace

Pre-trade analytics, news, pricing and other expert insight to help inform trading strategies and decisions. Workspace provides access to indicative market rates, currency indices and FX benchmarks.

Matching

Anonymous central limit order book for spot and FX swaps trading for the dealer-to-dealer community, with over 1,000 subscribers and spot matching in over 80 currency pairs.

Electronic Trading

Powerful e-commerce solutions adopted by over 300 banks across 60 countries to shape, configure and automate FX price flows, whilst streamlining risk management to meet the growing demand for electronification.

Conversational Dealing

Global professional trading community, including more than 4,000 organisations and 14,000 users in more than 120 countries.

Advanced Dealing is a technical and functional enhancement to our already-popular Conversational Dealing. Furthermore, it is a key strategic element of our FX strategy and brings together the Messenger and Dealing communities to deliver a collaborative trading workflow

Compliance Archive

Reconstruct, supervise and analyse your message and trade activity in an efficient and compliant way, in one unifying portal.

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