



FIS COMMUNICATIONS COMPLIANCE MANAGER

WITH SHIELD

The Compliance Solution Analyzing the Content and Context of Your Communications

The shift to long-term working from home has re-ignited regulators' concerns about market abuse, employee conduct and insider information. Many firms were already struggling to respond to MiFID II and Dodd-Frank requests quickly enough, and any new requirements will increase the pressure.

Monitoring transactions won't be enough to stay in the clear. You need to understand both the content and the context of your messages to comprehend the full intent of the communication. That's no simple task given the volume of transactions performed in a day.

FIS® Communications Compliance Manager with Shield uses natural language processing and artificial intelligence (AI) to rapidly and accurately analyze the content and context of structured and unstructured data in voice, chat, e-mail, documentation, social media and order management systems, across 15 languages.

Reduce the number of your daily alerts, from thousands to dozens, with advanced alert scoring models. And trust in the unique combination of FIS, the award-winning risk and compliance solutions provider, and Shield, the best of breed e-comms surveillance specialist.



MEET YOUR REGULATORY AND RECORD-KEEPING REQUIREMENTS

Respond proactively and effectively to compliance risks raised by financial crime, privacy, misconduct and other regulatory requirements.



COMMUNICATIONS COMPLIANCE AUTOMATED

Streamline the complete communications compliance life cycle with a unique combination of AI, natural language processing, named entity recognition and visualization capabilities.



COVER THE FULL LIFE CYCLE IN ONE SOLUTION

Integrate your e-communications surveillance with modules for behavioral modeling, e-discovery and investigations, trade reconstruction and compliance data management.

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CAPTURE RELEVANT DATA

Pre-integrated connectors capture all relevant unstructured e-communications data, while metadata, third-party systems and structured data are combined for a complete view of your compliance landscape.

UNDERSTAND FINANCIAL CONTEXT

Detect, extract and correlate relevant financial data on any requested product, trade or timeframe by desk or participant, across communication channels.

CONNECT TO YOUR TRADE SURVEILLANCE

Gain hybrid surveillance and complete your investigation overview.

MANAGE REGULATIONS ACROSS PLATFORMS

Meet different regulatory demands and objectives, such as record-keeping and retention, completeness and reconciliation, e-discovery and advanced search, investigations and surveillance.

ENHANCE SURVEILLANCE AND INVESTIGATIONS

See all the data needed to create and investigate cases, conduct internal risk oversight, and proactively detect market abuse, information handling and employee conduct scenarios.

Unleash the power of AI on monitoring trade and communications data to improve efficiency and meet regulatory requirements.

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