



IPC and Compliance

Mitigate risks with proactive compliant communications



Turn to the experts for comprehensive, tailored compliance solutions

Why IPC®?

MiFID II, Dodd-Frank, Basel initiatives and more. Whether you're in London or New York, Tokyo or Toronto, regulatory oversight and new requirements are here today – and expanding in scope and severity. Requests from regulators are becoming more complex. Fines for non-compliance are bigger than ever. You can no longer afford just to be reactive. It's time for a proactive compliance culture.

Industry, Regulatory and Technology Expertise

Our compliance offering starts with a hand-picked, global team of experts from inside the industry. They have extensive knowledge having worked in compliance and risk as IT directors and technology innovators.

This specially-selected group of consulting professionals provide subject matter expertise that can provide valuable and timely insight into your compliance obligations, while helping you balance the pressures you are under for an appropriate solution.



Compliant Communications

The capture and archiving of communications is not only critical, but also increasingly complex. Beyond trading floor voice recordings there's mobile, PBX, and a vast array of e-communications to address. Firms are required to maintain massive amounts of data, which must be tightly integrated with compliance tools to properly manage retention periods and to facilitate recovery and communication reconstruction.

IPC is visionary, designing scalable and secure archive solutions with built-in tools for policy configurations, monitoring, and rules enforcement as well as cloud-based solutions for easy scalability and management.

Proactive Compliance Assurance

Compliance assurance is essential for firms to have control and consistency over their trading communications infrastructure. IPC's services can help firms by:

- Automating daily checks and balances to validate whether key communications systems are functioning well before markets open
- Monitoring in real time to confirm those recording and archiving systems necessary for compliance are, in fact, operating as they were designed
- Audit services that take an even deeper look at systems to determine if they are performing to the standards they were designed to achieve.

Additionally, IPC will provide a compliance engine solution to help firms proactively set up and enforce the communications barriers required for compliant operations.



For more Information

When it comes to compliance, you'll want the IPC difference – unmatched expertise, end-to-end solutions, seamless support from a single provider, open access platforms for easy integration and advanced technology to mitigate your risks. To begin discussing our comprehensive, tailored compliance solutions for your firm, contact your IPC account representative or visit:

www.ipc.com

Agility and Flexibility for the Future

With access to IPC's global compliance team you always have the ability to gain fresh insights on issues and respond quickly to new compliance needs. The open architecture of IPC's innovative compliance offerings means you'll have the flexibility and adaptability to integrate with your systems and third-party services - as well as IPC's new offerings for compliant communications, proactive protection and analytics.

IPC is Certified ISO 27001

The ISO/IEC 27000 family of standards helps organizations keep information assets secure. ISO 27001 is a specification for an information security management system (ISMS). An ISMS is a framework of policies and procedures that includes all legal, physical and technical controls involved in an organisation's information risk management processes.



IPC's deep trading communications and compliance expertise, global presence and innovative service offerings make us an industry leader in helping financial markets firms meet their regulatory requirements and proactively mitigate their present and future compliance needs.

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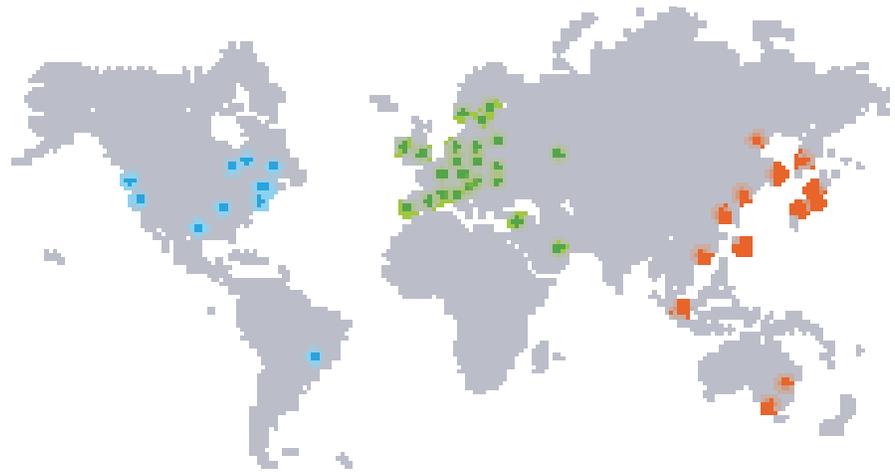
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