

Compliance Policy Engine



Automating proactive financial communications rule enforcement

Solution sheet

Regulations Keep your Compliance Officers Awake and your IT Department Busy

With the increasing pressure of financial regulations, financial markets participants require assurance around the global efficacy of their voice recording ecosystems.

Financial market regulatory bodies are increasing the burden of business requirements to the extent that it necessitates the continuous management of operational activities and risks. Associated with additional regulation, are shorter investigation response times and greater expectations surrounding the proactive disclosure of any discovered issues.

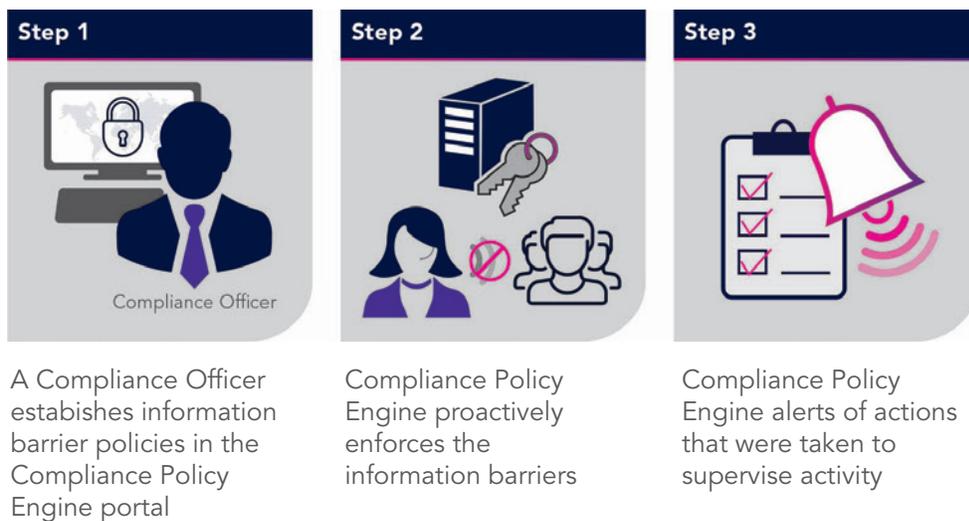
IPC assists customers in managing their operational risks more effectively by offering effective applications for Compliance Officers, and a proactive approach to monitor critical interactions preventing major issues.

Is your firm concerned with proactively managing information governance in voice communications?

IPC offers an innovative solution - **Compliance Policy Engine** - that automates proactive compliance adherence and mitigates risk in **Financial Services communications and information governance, empowering firms to extend information barriers to voice communications.**

Take a look at how we can help.

Establish, Enforce, and Supervise Policies for Information Barriers to Meet Your Regulatory Requirements



Mitigate Risk with Compliance Policy Engine

IPC Compliance Policy Engine can help you mitigate risk by allowing you to **establish, enforce, and supervise communications policies** that appropriately permit or block voice communications between groups of employees or individuals – based on roles and organizational structure – to comply with global Material Non-Public Information Disclosure and Conflict of Interest regulations.

Manage Information Barriers Proactively with Compliance Policy Engine

Manage Communications Internally and to Counterparties

Whether with hoots or dedicated private wires, you want to make sure members have access only to relevant colleagues and counterparties.

Enable a Compliance Team

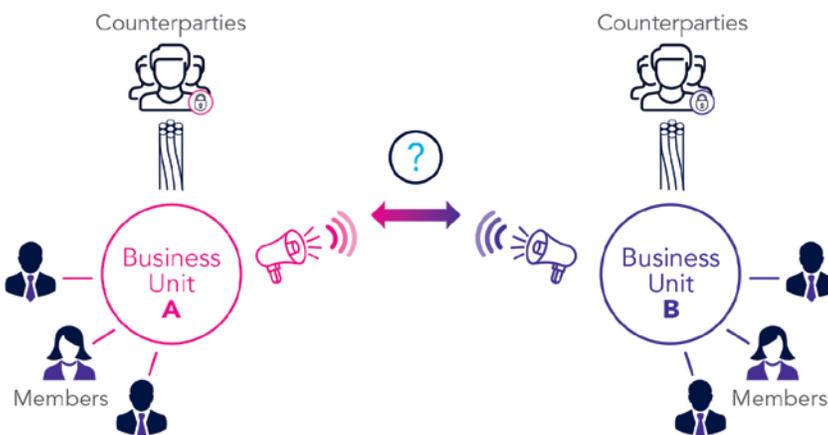
Compliance Policy Engine allows your compliance officers to work with members on either side of communication barriers.

Generate Alerts on All Activity

Not all requirements are black and white, and you must be able to monitor activity even when no communication barrier is placed between specified groups or individuals.



Control In Your Communications Estate



In today's highly-connected world, firms need to monitor not just access to material non-public information, but also communications between users to ensure no such information is being disclosed across the information barriers.

By proactively automating and extending the set-up and monitoring of information barriers firms can both free up IT and risk management resources and gain greater peace of mind when it comes to properly protecting material non-public information and avoiding potential compliance penalties.

About IPC

IPC is a technology and service leader that powers financial markets globally. We help clients anticipate change and solve problems, setting the standard with industry expertise, exceptional service and comprehensive technology. With customers first and always, we collaborate with each to understand their individual needs to help make them secure, productive and compliant within our connected community. Through service excellence, long-developed expertise and a focus on innovation and community, we provide agile and efficient ways for our customers to accelerate their ability to adapt to the ever-changing requirements for advanced data networks, compliance and collaboration with all counterparties across the financial markets.

www.ipc.com

Contact Us

Americas

T +1.201.253.2000

EMEA

T +44.(0)20.7979.7200

Asia Pacific

T +852.2899.8088