



# Financial Services Compliance and eDiscovery Made Easy

Use your existing archive to comply with financial services messaging compliance regulations, including SEC, FINRA, GDPR and MiFID II.

## Financial services firms must archive communications

Regulated financial services companies – including broker-dealers, hedge funds, and investment advisors – are required by law to archive, retain and supervise business communications. Regulations from financial authorities such as the Securities Exchange Commission (SEC 17a-4), Financial Industry Regulatory Authority (FINRA 10-06), and the Commodity Futures Trading Commission (CFTC 1.31) lay out specific mandates around communications that must be retained, including those taking place over social media, mobile devices, and financial messaging platforms (e.g. Instant Bloomberg). Failure to comply with these rules can lead to fines and has resulted in a number of high-profile enforcement cases where financial services firms were penalized for failure to adhere to messaging compliance rules.

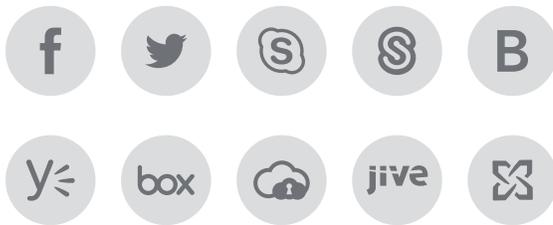
## Merge1 helps meet financial services messaging regulations efficiently

Since 2005, Merge1 by Globanet has helped regulated financial services firms quickly and easily gain compliance with messaging regulations. Merge1 was designed to help facilitate compliance by using your current infrastructure. Merge1 extends your existing email archive to capture various content types and communications channels, including social media, mobile, cloud-based files and financial messaging platforms like Bloomberg, Symphony, Eikon by Thomson Reuters, FX Connect and ICE Chat. Once these messages are ingested into your archive, they can be retained according to retention rules and supervised for compliance.

## Benefits of Merge1 for financial service firms:

- Avoid fines, penalties and other enforcement actions by regulatory bodies such as SEC and FINRA.
- Reduce compliance related costs and recurring fees.
- Mitigate risk involving internal investigations, external audits and lawsuits.
- Maintain control over your data.
- Capture all communications.

Archive popular message content types including social media, IM, financial platforms, and Cloud-based content.



Merge1 archives dozens of content types and can be customized to archive any content.

Archiving all your content with Merge1 helps you comply with industry regulations and enhances your eDiscovery results.

### The ideal combination of power and simplicity:

- Archive agnostic
- Fully customizable
- On-prem or cloud
- Easy to set up and deploy

*“Merge1 is an integral and invaluable tool. My team uses Merge1 to meet company needs for capturing EML/Reuters, Blackberry, Symphony and Bloomberg data. The product is intuitive, easy to set up, and I appreciate the personalized sale and support attention we receive. I would recommend Merge1 to anyone.”*

— VP of Compliance at a Large International Bank