

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.

VERITAS™

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 Veritas 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.

RULES AND REGULATIONS

Veritas compliance solutions enable financial organizations to securely capture, store and retrieve electronic communications for recordkeeping, eDiscovery, audits, and risk management.

- SEC
- FINRA
- CFTC
- SOX
- MiFID II



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.

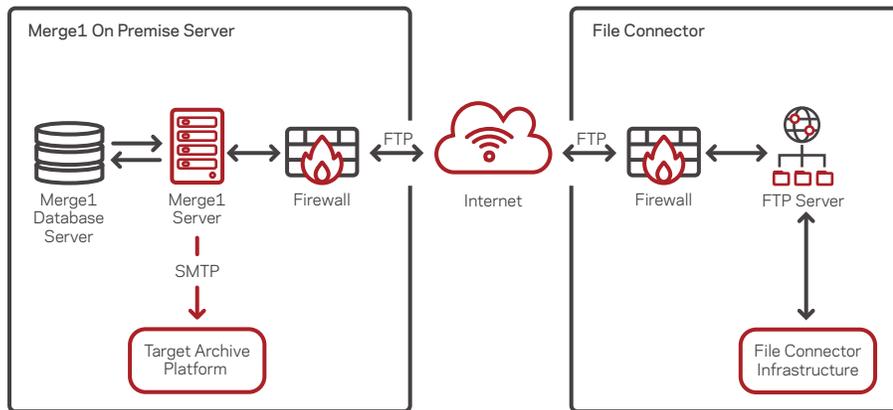
"Merge1 is truly a pioneer product in the space. It's an easy to set up solution for our many complex problems. The support team is top notch as well."

— Bo He
Vice President, KKR

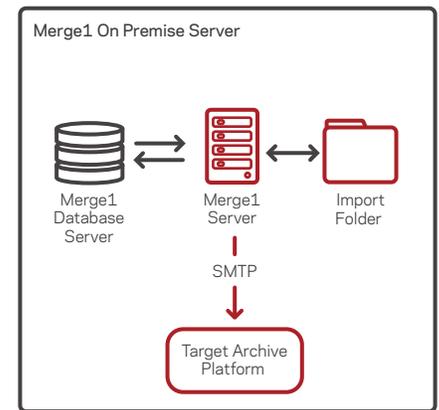
THE IDEAL COMBINATION OF POWER AND SIMPLICITY:

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

Merge1 File Connector Architecture Diagram
FTP Connector



Merge1 File Connector
Architecture Diagram Folder



ABOUT VERITAS

Veritas Technologies is a global leader in data protection and availability. Over 50,000 enterprises—including 87 percent of the Fortune Global 500—rely on us to abstract IT complexity and simplify data management. The Veritas Enterprise Data Services Platform automates the protection and orchestrates the recovery of data everywhere it lives, ensures 24/7 availability of business-critical applications, and provides enterprises with the insights they need to comply with evolving data regulations. With a reputation for reliability at scale and a deployment model to fit any need, Veritas Enterprise Data Services Platform supports more than 800 different data sources, over 100 different operating systems, more than 1,400 storage targets, and more than 60 different cloud platforms. Learn more at www.veritas.com. Follow us on Twitter at [@veritastechllc](https://twitter.com/veritastechllc).

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