Verint Speech Analytics for Financial Trading

In the heavily regulated world of financial trading, knowing what is being said — and by whom — is critical for ensuring compliance. But relying on random sampling to detect potential issues can be risky. You need a way to surface suspicious conversations from all the interactions you record.

Verint® Speech Analytics for Financial Trading™ is an enterprise solution for trade surveillance that can analyze recorded phone calls to reveal suspicious or unusual conversations, facilitating quick investigation. This powerful, scalable solution can help your organization proactively enforce regulations and compliance policies, reduce risk, and protect its reputation.

Because Verint Speech Analytics for Financial Trading can search, process, analyze, and report on 100 percent of recorded calls, it can help expedite investigations while eliminating the need for costly, time-consuming manual sampling and transcriptions. Your compliance officers and analysts can gain faster, deeper insight into trading room conversations and quickly find the ones that can put your organization at risk.

The solution can work with Verint's proven recording, text analytics, and desktop analytics solutions to provide the convenience and cost savings associated with a single-provider trade surveillance solution. It can also be enabled to work with powerful case management from KANA®, a Verint Company, and can even work with third-party recording solutions. So you can benefit from Verint's powerful analytics and expertise, regardless of the origin and source of your calls.

Verint Speech Analytics for Financial Trading is a trade surveillance solution that can analyze 100 percent of trader calls and surface those containing suspicious words or phrases.

Key Benefits

- Helps reduce operational and reputational risk by analyzing all calls and quickly surfacing those containing suspicious words and phrases.

- Helps trading firms spot and correct compliance and policy breaches before they escalate.

- Helps reduce the cost, time, and resources required for trade surveillance, audits, and detecting fraudulent activities.

- Helps expedite investigations by external regulators by providing a solution for addressing compliance with regulations and adherence to prescribed practices.

VERINT®

Go Beyond Random Sampling with Automated Discovery

Verint Speech Analytics for Financial Trading uses Verint's patented technology to index and categorize audio recordings, enabling you to search for an unlimited number of terms by keyword, phrase, or business category. Guided search capabilities resemble those used by popular Internet search engines, helping compliance officers find relevant calls quickly — a benefit for complying with requests from regulators. You can easily search and retrieve calls according to structured data and context-based filters, while the solution can automatically provide options for more focused filtering, based on the context of the searched terms.

Better still, Verint Speech Analytics for Financial Trading can process, retain, and mine the entire content of calls, not just the keywords and phrases you've specified. It can automatically analyze and categorize calls based on how speakers express themselves, and can surface critical information or anomalies that you might not otherwise know to look for, such as references to unusual or inappropriate actions or to confidential information. This automated discovery capability can provide you with the opportunity to correct compliance or service issues before they escalate.

Enhance Investigations and Audits

Since Verint Speech Analytics for Financial Trading can integrate with structured surveillance technologies, it can help analysts connect the dots between the unstructured audio and structured data pertaining to specific trades, such as text and email messages. This expanded scope of surveillance can help you do more than reveal potential risks — it can help you ensure that your firm's standards and code of conduct are followed across the trading floor. It can also help you show compliance with specific processes during quarterly and/or annual audits by regulators.

Going further, the solution can foster improvement in trader behavior while providing individuals with the ability to review their actions and demonstrate their compliance, should questions or disputes arise. This ability can be reassuring and can help drive employee confidence and satisfaction.

Benefit from World-Class Consultants

Verint Consulting Services can help you get the most from your investment. From strategy, customer research, and business impact consulting to implementation, training, customer support, application consulting, and change management, you can be confident that our experienced teams understand your business practices and operations — and are committed to your success.

Verint. Powering Actionable Intelligence®

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