REFINITIV MESSENGER HELPS YOU MEET REGULATORY REQUIREMENTS AND MANAGE BUSINESS RISK

Refinitiv Messenger is a free, secure and compliant instant messaging solution that gives you access to the world's largest verified directory of financial market participants across an open messaging network.

Compliance underpins the global messaging community, making it the trusted provider for external communications.

Refinitiv Messenger Compliance (RMC) is a hosted solution that eliminates the need for costly hardware and associated software. It is easily configured and integrated. All types of user-generated Refinitiv Messenger conversations, including intra- and inter-company messages, as well as sessions with users on other instant messaging platforms, are captured by default.

Members of the community can communicate with each other and with many hundreds of thousands of other financial professionals via our federation capabilities, in a fully secure and compliant way. Over 75% of the millions of messages sent daily are exchanged between different financial institutions.

Control to manage business risk

As investigations involving messaging become more prevalent, our comprehensive suite of compliance services enables your firm to set policies that control the behavior of users at your firm; capture all content and access the data via a daily feed, or via our hosted archiving service.

Full audit trails and transcripts

All Messenger conversations are captured, including intra- and inter-company messages and sessions with users on federated messaging platforms. Our comprehensive, hosted compliance service records all types of user-generated content, including conversations in chat rooms, file sharing, forms and screenshots – regardless of the device (desktop or mobile) or location of the user.

Peace of mind enforcing regulations

Customers trust Refinitiv compliance tools to help satisfy in-house policies and regulatory requirements, e.g.,:

- SEC Rule 17a-4
- FINRA (NASD) 3110 and 4511
- Sarbanes-Oxley
- MiFID II
- FCA Conduct of Business Rules and Record Keeping

Confidence in the counterparty

Refinitiv screens and validates all new account requests for its Refinitiv Messenger service using our consolidated sanctions database to reject requests from sanctioned parties or embargoed countries.

Hosted archiving*
Fully hosted archiving solution that eliminates the need for costly hardware and software.

POWERED BY global**RELAY.**
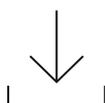
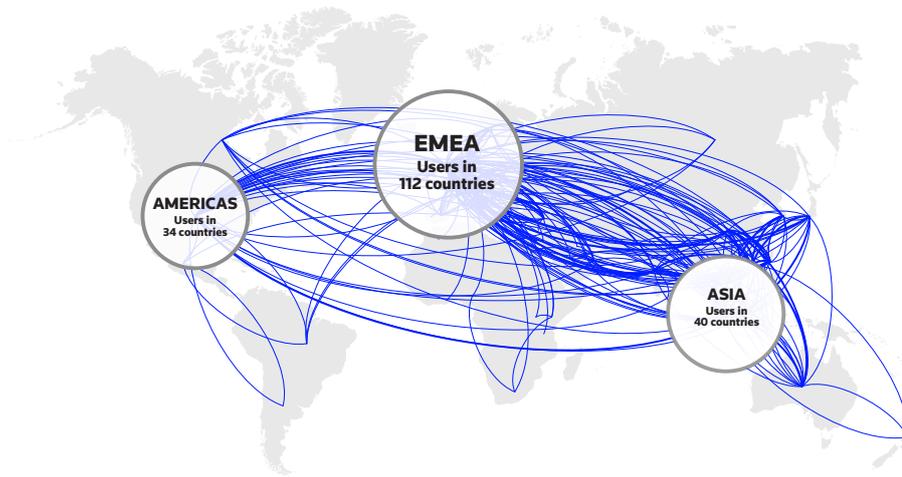**External feed**
Receive transcripts for all your users for integration into your existing archiving environment directly from Refinitiv. XML delivery can be scheduled via FTPS or SFTP of captured logs with comprehensive summary, sha1 and reconciliation files.

These third-party providers have informed Refinitiv that they can support RMC XML External Feeds.

actiance®   VerQu   proofpoint   Winco Talk Manager

Globanet   17a-4 LLC   Behavox   smarsh

REFINITIV®

DATA IS JUST
THE BEGINNING™

A thriving community of more than 300k+ users, including 30,000 on the buy-side, in 180 countries, communicate in a secure and compliant way.

Enforce your firm's policies

Comprehensive Policy Management

Automatic Bilateral Chat enforcement
Control external multilateral communications by ensuring all conversations never have participants from more than two companies (see sidebar).

Ethical boundaries
Assign users to groups and create information boundaries ("ethical walls") between group members to block all 1:1, chat room, Bilateral Chat and file communications.

Keyword controls
Control the conversations – build lists of keywords or phrases that you want to restrict or prohibit, e.g., profanities, restricted lists, and gifts and entertainment policies.

Violation attempt alerting
Receive real-time email alerts of any attempts by your users to violate any of your firm's rules.

Domain-based enforcement
Easily control communications with all users whose identities include specific domains.

Customized policy messages
Build customized policy description messages to inform users why you are blocking their messages.

Custom Disclaimers
Implement customized firm-wide or group-specific disclaimers that will be delivered to counterparties whenever your users initiate or first respond to an inbound message.

Hosted archiving features powered by

Monitoring and reviewing
Online audit and eDiscovery through a secure Web-based interface (over HTTPS, SSL, TLS). Use advanced search and retrieval functionality for all types of captured content. Scan keywords and phrases with integrated random sampling.

Archiving and retention
Secure storage of logs (AES and RSA encryption). Configure the retention period to meet regulatory requirements and to support transnational and multijurisdictional companies.

Bilateral Chat policy enforcement

Bilateral Chat systematically restricts communication to users from no more than two organizations – and only if there are no other compliance controls that would otherwise prohibit that communication.

This allows customers to be confident that external communications are controlled to prevent unauthorized multilateral communications between counterparties.

What are the benefits?

Bilateral Chat removes the need for protracted, complex and expensive administration and approvals processes, while ensuring that end users operate in conformance with company policy and regulatory requirements.

Confidence in the counterparty

Bilateral chat, powered using Refinitiv Legal Entity Data, holds details of more than 88,000 organizations comprising more than 1 million legal entities, across 250 markets. Maintained by 300+ analysts supporting 50+ languages from more than 1,500 approved primary sources, all validated legal entity changes are automatically applied across the Refinitiv Messenger service.

Reap the benefits of Refinitiv Messenger Compliance

Messenger Compliance is the only solution that provides full compliance support for Refinitiv desktop and Refinitiv Messenger Standalone.

To request the RMC service, please obtain the Compliance Setup Form from your Refinitiv Account Representative.

Visit **refinitiv.com**

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