



Building a Next-Gen Compliance Program

A Holistic Journey

Jerome Lambert

Business Director, Financial Markets Compliance, EMEA





Increased Costs

- *“Need ways to reduce the Run The Bank budget”*
- *“We are being asked to do more with less”*
- *“We are taking on more responsibility with no additional resources”*
- *“We have more processes to follow”*



Keeping up with Innovation

- *“We have a cloud adoption requirement “*
- *“UC is now the basis of our communication strategy”*
- *“We don’t know how to implement new technologies into our regulated environment”*



Regulatory Compliance

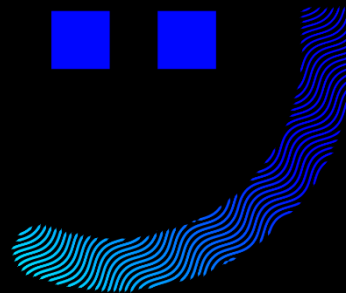
- *“Regulators are now realising that technology exists to record communications across multiple channels – including remotely”*
- *“New consumer protection requirements are going to make us implement wider compliance recording controls”*
- *“Regulators are enforcing record keeping rules for new technologies”*



Growing ESG Risks

- *“ESG is now part of the risk assessment of our institutional investors “*
- *“Our business needs us to reduce our ESG score”*
- *Increasing environment impact concerns from stakeholders*

What are the existing customer challenges?



A Centralized Platform for Compliance

The Complete Trade Compliance Cloud

