

FINGERPRINT

CASE STUDY:
Fingerprint for
Asset Management
Firms



Communications Monitoring Best Practice, Enabled By Fingerprint.

The Bottom Line

Using the Fingerprint platform, the compliance team of a global Asset Management firm can access communications data for several global offices from one unified platform, and monitor all activity for risk and to meet regulatory requirements.

Using Fingerprint has helped their compliance team increase their monitoring efficiency and output, save time, streamline investigation workflows, and has given their investors and clients the confidence that all operations are being run cleanly and compliantly.

“ We are committed to remaining market leaders in asset management, and Fingerprint’s leading technology helps us ensure that all of our operations are efficient and compliant, so that our investors and clients can be confident that we are providing them with the best service possible. ”

Director and COO

FINGERPRINT

Overview

The compliance team of a market-leading global Asset Management firm were struggling to effectively monitor all communications activity across their offices in the UK and Europe, to mitigate risk and meet regulatory requirements.

Each office had their own separate systems and communication channels to monitor for several employees, and each operated in different languages.

The firm's compliance team also needed to ensure that any technology they implemented to help oversee activity was compliant with multiple regulatory jurisdictions, dependent on the country the office was based in.

Key Problems

- Compliance team struggled with communications oversight over multiple worldwide offices
- Team needed a system that was compliant with multiple regulatory jurisdictions
- Team wanted the latest technology to ensure compliant and efficient operations

The Solution

Using the Fingerprint platform, the firm's compliance team can now oversee ALL of their communications across multiple offices in one centralised place, within a single login platform.

The software offers translation tools so that the compliance team can translate any multi-lingual activity into their native language before reviewing work for higher efficiency and simplicity.

The platform also provides case management and reporting tools, so that the compliance team can create investigation workflows if any suspicious activity is found and evidence their compliant processes to the regulators easily.

Fingerprint has allowed the Asset Management firm to have one centralised compliance team that can oversee the communications of all worldwide offices and employees, effectively and cost efficiently.

FINGERPRINT

The Results

The firm's compliance team now have total oversight over all communications data in one place, along with the tools to investigate and report on any high-risk activity. Our software has streamlined their investigation workflows and has automated much work in the monitoring process, making operations more efficient.

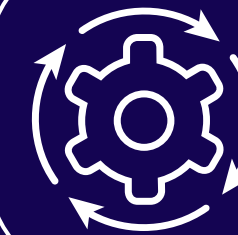
The powerful in-platform reporting tools allows the Asset Management firm to demonstrate that their operations are compliant with regulators around the world across their offices in the UK and Europe.

The platform also gives higher management peace of mind that their business is being run compliantly and that all staff members are conducting themselves appropriately. This also reassures the Asset Management firm's investors and clients that they are conducting all business cleanly and compliantly.

Fingerprint Benefits & Features



Total oversight over ALL comms data in one place



Streamlined and efficient compliance operations



Operations compliant with regulators across multiple countries



Meets Internal & Regulatory Reporting Reqs.



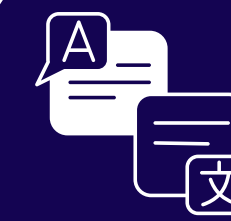
Investors and clients reassured that business is compliant



In-Platform Search & Investigation Tools



In-Platform Case Management



Translation tools to monitor multi-lingual operations

FINGERPRINT

Sound good?

We'd love to help your business!

[Speak with us](#)

FINGERPRINT