



**BlackBerry® solutions
for Compliance.**

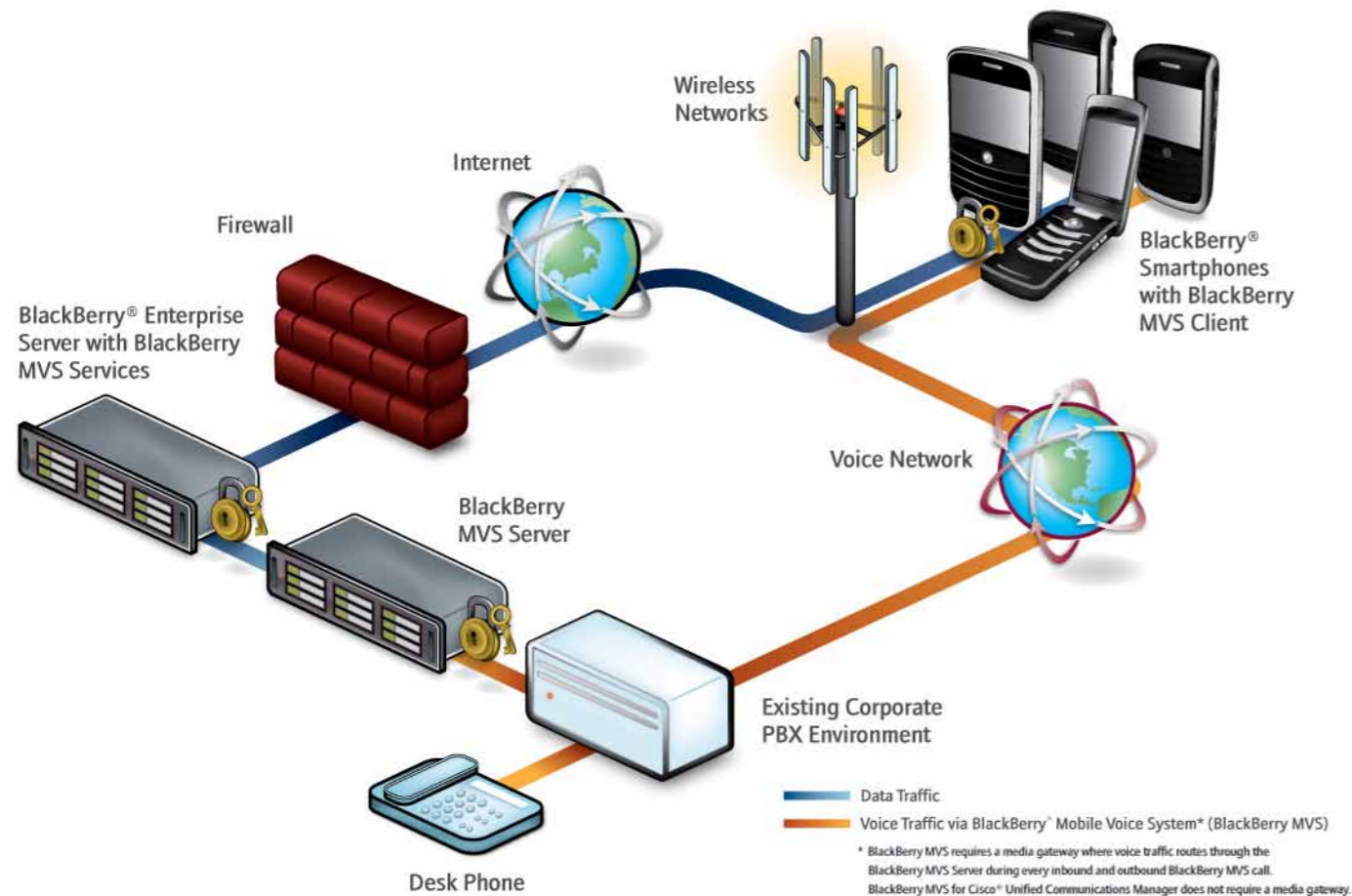
BlackBerry® solutions for Compliance.

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BlackBerry® Enterprise Solution.

The BlackBerry® Solution is a secure and convenient platform on which to meet your regulatory compliance needs more effectively.

BlackBerry® Enterprise Solutions.



Mobile access to corporate communications and data is no longer a luxury for top executives - it's a business necessity for mobile workers throughout the organisation. But with the demands of the regulatory compliance environment growing all the time, managing mobile access to corporate data can produce security challenges.

Fortunately the BlackBerry® Enterprise Solution offers the perfect answer - it's secure enough to allow you to confidently extend corporate information to mobile workers, and it's also the ideal platform on which to fulfil and enhance your regulatory compliance performance.

BlackBerry® Enterprise Solution The BlackBerry®

Enterprise Solution has a number of unique advantages which make it the ideal platform on which to meet compliance requirements while enjoying the benefits of mobile working, including:

- A robust and reliable end-to-end security model covering everything, including smartphones, software and data
- An administration tool that enables simplified management and centralised control of the entire architecture
- Applications which record calls, emails and other communications and actions for compliance purposes. The BlackBerry Enterprise Server is also able to log and audit all written communication, such as email, PIN-to-PIN, and SMS messages for compliance and security purposes

- The BlackBerry Enterprise Server enables the delivery of over-the-air compliance applications to individuals' BlackBerry smartphones, with the possibility of scheduling this roll out, to make it as smooth as possible.
- More than 450 IT policies to comprehensively control BlackBerry smartphones, including the use of third party applications.

The BlackBerry Enterprise Solution is the only end-to-end wireless solution that allows central administrators to control what is installed (and deleted) on each smartphone. To comply with requirements for recording mobile voice, SMS and PIN messages, companies that are FSA-regulated must ensure that recording systems cannot be bypassed. The BlackBerry Enterprise Solution ensures that users cannot switch off the recording application at any time.

BlackBerry Mobile Voice System

The BlackBerry® Mobile Voice System (BlackBerry MVS) lets you seamlessly extend enterprise calls and call control functionality to BlackBerry smartphones. Research In Motion® enterprise voice mobility leverages the strengths of the BlackBerry® Enterprise Solution. Telecom managers can set policies that require all inbound and outbound calls to use the corporate phone number, so calls can be routed through the PBX for logging or recording. Additionally, BlackBerry Enterprise Server wireless commands and policies enable asset tracking, reporting, password protection, call restrictions and other security functions.

Mobilise financial services procedures, securely and compliantly.

Secure, simple recording and storage of mobile conversations.

BlackBerry® solutions for Compliance

BlackBerry® solutions empower financial services and banking professionals with the tools they need to provide services when they're mobile, and manage client accounts securely and compliantly on the move.

As clients increasingly use and expect mobile services themselves, financial services firms are developing mobile strategies to build customer trust, meet expectations and maintain and improve their own market positions.

BlackBerry solutions provide the perfect platform on which to build those strategies - it's the only end-to-end mobile platform, which offers everything banking firms need to mobilise staff, banking systems and business processes safely. Mobile data is secure, and customer communications and actions taken in the field are fully auditable for compliance purposes.

Using BlackBerry solutions, financial firms can provide mobile staff with immediate and secure mobile access to different corporate applications, both bespoke and standard. The integration between applications is so easy and efficient that users can switch effortlessly between them. The BlackBerry platform enables financial organisations to create mobile solutions that are seamless to use and are so well-integrated with the core applications that they become a natural part of their employees' interactions.

Effortless Compliance

With the regulatory environment intensifying all the time, compliance has become one of the greatest challenges to banking profitability.

Another key requirement to meet compliance regulations is to keep up to date with the ever changing world of financial markets. The BlackBerry mobile platform and third party applications allow the users to effortlessly overcome these challenges.

Secure Mobile Data

The banking and investment industry relies on confidentiality and security. BlackBerry solutions are inherently secure, in order to meet the needs of financial institutions. With robust security built-in BlackBerry solutions the ability to mobilise business data and processes. The data held on BlackBerry® smartphones and in transit is encrypted at all times. BlackBerry smartphones can be protected with multi-layer security, and if lost or stolen they can be remotely disabled and wiped by administrators. Comprehensive IT management and administration tools allow administrators to control and record access to systems and applications, and to easily implement device and group security policies. The BlackBerry solution is the only mobile platform that is approved by Communications Electronics Security Group (CESG), the UK Government's National Technical Authority for information assurance.

Rebuild the customer relationship.

Customer retention is top priority for financial institutions. BlackBerry solutions enable banking and financial services companies to extend their existing enterprise applications to the BlackBerry smartphones of their executive customers to provide a more responsive customer service, access to key information when needed and improve overall workflow responsiveness.

Benefits

- The perfect platform to develop mobile strategies
- Secure mobile access to company data
- Fully compliant decision-making and auditable actions
- Manage risk proactively and make faster, well-informed decisions
- Real-time access to data to drive sales and build client loyalty

Challenge

Banking and investment professionals on the move rely on mobile communications to keep them connected to markets, customers and colleagues. Their data transactions and email traffic are easy to track and record, but voice communication is often used to give and receive crucial instructions, and in some situations such as business continuity emergencies, mobile communication is the only viable way to keep business moving.

Effective from November 2011 all FSA regulated investment firms in the UK - from banks to high street stockbrokers - will have to record all "relevant conversations" conducted on mobile devices and store them for six months. Ensuring that transactions and customer communications are monitored and recorded appropriately and making sure that users cannot bypass the recording, can present a significant barrier to implementing mobility strategies.

Solution

There are several software solutions available which offer banks an easy way to comply with forthcoming regulations and empower their staff to trade on their smartphone, knowing that the conversation is being recorded and so can be easily retrieved if required.

These solutions leverage the BlackBerry platform's inherent security architecture to keep recorded calls safe. The BlackBerry platform's in-built flexibility also ensures that these applications can be easily rolled out over-the-air to end users' BlackBerry smartphones

Voice recording systems offer secure recording, storage and retrieval, and cater for a wide range of scenarios, from compulsory automatic recording of all calls for compliance purposes through to on-demand recording for important calls only.

Benefits

- Secure recording and storage of voice calls
- Regulatory compliance without end-user burden
- Easy to deploy, integrate and manage
- Reliably record all voice and SMS communications from anywhere in the world

Compliance management and control of unified communications, Web 2.0 and social media channels

Vantage Module for BlackBerry

Challenge

With the increased use of real-time communications applications and social networking in the workplace come the associated risks and challenges of protecting and archiving sensitive company information. Mandated measures for monitoring and protecting proprietary and confidential information that once just applied to email now apply to all types of communications applications.

Logging and archiving, unauthorized use, circumvention, and network security risk are just a few of the issues compliance personnel must be aware of. Adding to the complexity and urgency to meet these requirements, government agencies are cracking down and imposing harsh financial penalties on those that do not comply with regulations.

The challenge to compliance personnel today is how to log and store all BlackBerry PIN and SMS messages to remain compliant with applicable industry guidelines on recordkeeping.

Solution

By ensuring the security, management and compliance of real time and unified communications, Vantage enables organizations to do business more quickly, more profitably and more securely using collaborative communication tools.

The Vantage Module for BlackBerry enables the safe and compliant use of BlackBerry devices by logging all SMS and/or PIN messages to CSV files as well as reviewing them and securely storing the messages in a database.

Coupled with the base Actiance Vantage platform, the two together enable organizations to detect, secure and manage real-time collaborative applications while at the same time blocking malware and minimizing information leakage, as well as controlling employee Internet use.

Benefits

- Ensures compliance with applicable industry regulations and guidelines
- Facilitates eDiscovery requests and projects
- Enhances security by blocking malware
- Protects corporate reputation by minimizing the leakage of confidential information
- Increases employee productivity by controlling employees' Internet use

About Actiance

Actiance is a trusted partner to large enterprises, delivering platforms that enable the safe and productive use of unified communications, collaboration and Web 2.0, including blogs and social networking sites.

Formerly FaceTime Communications, Actiance's award-winning platforms are used by 9 of the top 10 US banks, the top five Canadian banks, as well as more than 1,600 organizations globally for the security, management, and compliance of unified communications, Web 2.0, and social media channels.

Actiance supports all leading social networks, unified communications providers and IM platforms, including Facebook, LinkedIn, Twitter, AOL, Google, Yahoo!, Skype, Microsoft, IBM and Cisco Unified Presence.

Actiance is headquartered in Belmont, California.



Challenge

In the globalised and diversified world of 21st century financial services, mobile working is a fact of life. Clients, suppliers and associates all expect to be able to connect to each other, and to corporate systems and data sources, wherever work and life takes them.

As business has increasingly been taken out of the office, the significance of mobile phone calls has risen. Orders, client instructions and negotiations are often conducted on mobile phone calls, meaning that firms are obliged to make efforts to record and preserve those communications to ensure compliance and enable accurate auditing and data security.

Financial services companies have been recording fixed-line calls for many years, for audit purposes, dispute resolution, quality management and regulatory compliance. These firms now recognize that they need the same level of control over mobile voice and data communications.

Companies in this sector who record mobile conversations need to be confident that their data is being recorded and held securely, whatever network they are using and wherever they are in the world. And of course, any mobile recording solution must be easy to use.

Solution

Inline Mobile Recording™ enables calls and messages made by and to financial professionals on their Blackberry® smartphones to be automatically recorded—ensuring that mobile communications are as compliant as desk phone calls.

Inline Mobile Recording™ works on any network, enabling users to roam anywhere in the world, safe in the knowledge that their communications will be recorded at all times. Because communications are captured in-line, recording quality and reliability is maximized. Innovative connectivity functionality helps to ensure an excellent user experience.

Benefits

- Comply with mobile recording regulations
- Minimise operational risk
- Enable more effective business continuity planning



Above: BlackBerry® Bold™ 9700 smartphone.

Inline Mobile Recording™ minimises total cost of ownership and operational disruption: Users retain their mobile numbers and SIM cards; handset software is installed and activated remotely; and, by integrating seamlessly with fixed-line voice recording systems and telecoms infrastructure, use of existing assets and data management processes is maximized.

By providing a fully managed hosted alternative to onsite deployment, Inline Mobile Recording™ satisfies the needs of all sizes of organisations—from small office through to global enterprise.

About Compliant Phones

Established in 2006, Compliant Phones develops innovative mobile communication applications for financial services, industry, healthcare and government.

Compliant Phones' flagship product, Inline Mobile Recording™ enables organisations to use mobile phones without exposure to regulatory or operational risk, and is the only reliable solution for automatically recording mobile voice and data communications across any network, worldwide.



Highlights

- Automatically records voice and data communications
- Works on any network, worldwide
- Unrivalled recording reliability
- Excellent user experience
- Integrates with existing call-recording systems
- Minimum user disruption:
 - Users retain mobile numbers and SIM cards
 - Handset software installed remotely

Mobile Recording Solutions.

Global Relay Message Converter and Archiver

Challenge

In today's always-connected business environment, financial professionals and clients expect to be able to stay in contact using an array of electronic communications tools.

Banking professionals are regularly using their BlackBerry® smartphones to interact with a range of messaging services, from email (including attachments), instant messaging and SMS/PIN messages, to social media such as Twitter and LinkedIn, and mobile data apps such as Bloomberg and Reuters.

With more communication tools to manage, and with data volumes growing all the time, financial services firms must protect against data leakage, untraceable communications and other uncontrolled data which could be highly damaging from commercial and compliance viewpoints.

Because of these risks, firms are forced to either restrict usage or work out a way to securely capture, archive, and preserve corporate data. Any archiving solution must allow quick search and retrieval of data like emails and voice calls, to ensure regulatory compliance, privacy and legal eDiscovery requirements.

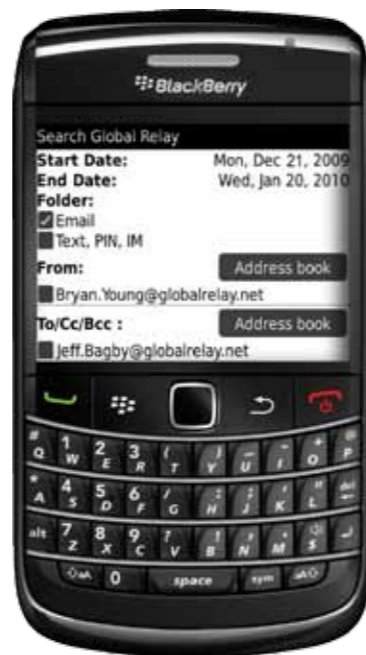
Solution

Global Relay's Message Converter for BlackBerry captures compliant capture of email, attachments, IM, BlackBerry BES, SMS, PIN, Phone Log data from the BlackBerry smartphones of financial services professionals, ensuring that their mobile communications are logged and stored in the same way as their desktop data.

To unify the formats, it converts this data to email format and delivers it to a centralised database, from where it can be retrieved easily when required. The converted data can be delivered either to Global Relay's hosted Message Archiver and Compliance Reviewer or an in-house archive.

Benefits

- A single archive for all types of communication
- Advanced indexing allows easy data archive, search and retrieval
- Ideal for compliance, eDiscovery, audits and business continuity
- Smartphone app enables access to archive from anywhere
- Secure end-to-end encryption



Above: BlackBerry® Bold™ 9700 smartphone with a screenshot of a Global Relay application for BlackBerry.

Global Relay's Message Archiver offers a hosted archiving and monitoring solution to preserve and unify all messaging types. The unified archive centrally captures, preserves, indexes and manages all forms of electronic messages for mail management, regulatory compliance, eDiscovery and business continuity situations.

It also offers a powerful search facility, allowing scalable indexing and fast search, with full message reconciliation. The application for the BlackBerry platform allows BlackBerry smartphone users to securely access archived messages, via an unlimited long-term mailbox which they can search quickly, and restore any message to their inbox in seconds.

About Global Relay

Global Relay delivers high performance messaging solutions for compliance, eDiscovery, monitoring and disaster recovery situations. With many of the top global banks as customers, Global Relay specialises in messaging compliance and archiving solutions for financial firms subject to SEC, FINRA, SOX, FRCP, IIROC, MiFiD, FSA, DPA and privacy rules.

Global Relay has offices in New York, Vancouver, London and Singapore, providing services in 90 countries to over 9000 customers including public companies, banks, broker-dealers/public stock exchange, investment advisors, hedge funds, investment dealers, and global multinationals.



Challenge

Banks and financial services companies in areas such as investment, insurance and retail and investment banking are increasingly empowering employees to conduct mobile business while they are out of the office. This empowers mobile workers to conduct more effective mobile business. However, these same companies also require mobile communications to be recorded so that they can monitor quality, avoid data leakage and remain compliant with regulations.

Financial regulators around the world are already including mobile communications into existing regulations, which mandate the recording and storing of all forms of fixed line communications. When this requirement inevitably arrives, companies will face a race against the clock to ensure compliance for recording mobile communications, within the timescales that regulators impose.

Solution

Mobile Compliance Suite™ from Obsidian is a mobile communications recording solution which is ready to meet this challenge. This solution helps financial organisations to manage the risk involved in conducting everyday business using mobile communications, and meets the existing and future compliance requirements for smartphone usage by finance professionals.

By enabling the recording of all types of mobile communication Mobile Compliance Suite™ brings mobile compliance strategies into line with existing fixed network communications compliance and risk management strategies.

Benefits

- Securely record any mobile communication
- Real-time alerting options
- Integrates with legacy recording systems
- Can be implemented globally



Above: BlackBerry® Bold™ 9700 smartphone with a screenshot of an Obsidian application for BlackBerry.

It has been integrated with most popular call recording and message archiving solutions, but also offers enhancements to legacy systems such as single point search and delivery for voice and data, and real-time alerts. These can be activated if and when messages or calls infringe the rules that are set by the firm. These rules typically include nominated destinations, originating addresses or numbers, and the use of certain keywords or phrases.

Mobile Compliance Suite™ integrates seamlessly into firms' existing BlackBerry® platforms and can be run on a choice of architectures, including:

- A full on-site solution where voice & data is recorded onto company networks Fully redundant architecture which can be standalone or integrated with organisations telephone systems
- A fully hosted and managed service.

About Obsidian Wireless

With a head office in the City of London and global partnerships throughout Europe, Asia, Africa and the USA, Obsidian Wireless was formed in 2007 by leading experts in mobile communications and in the financial industry, with the specific aim of developing a world class solution for the recording of all aspects of mobile communications.



Challenge

In the UK, financial services firms must record mobile calls to comply with FSA requirements. Beyond compliance, the recording of voice calls provides companies with impartial and verifiable evidence of what was said to help with dispute resolution, training of staff and ensure the accuracy of record keeping.

There will always be a need for key staff to work away from their desks and as a result BlackBerry® smartphones are essential if employees are to perform their jobs effectively and respond within the rapid response times that clients and colleagues expect.

By recording voice calls and other communications on BlackBerry smartphones, financial institutions can ensure their employees have the flexibility to work securely and compliantly, wherever they need to be. This can also add a significant layer of value to the company's business continuity plans, by allowing workers to continue to work even when they are denied access to their recorded desk phones.

Solution

The VoxRecord solution consists of a handset application that seamlessly and securely integrates BlackBerry smartphones with any voice recorder to record calls. VoxRecord can be easily deployed with customers' existing in-house voice recorders. No external hardware is required.

The VoxRecord solution offers IT administrators the benefit of using just one interface on existing recording systems for storing and retrieving both landline and mobile call recordings. VoxRecord also offers the important advantage of leveraging the robust security inherent in the BlackBerry platform and a firm's existing IT assets to meet the stringent security requirements of the financial services sector.

Benefits

- Secure, easy to deploy mobile voice recording
- Complies with internal and regulatory needs
- Convenient and easy to use
- Integrates easily



Above: BlackBerry® Bold™ 9700 smartphone with a screenshot of a Voxsmart application for BlackBerry.

Alternatively Voxsmart partners with a number of third party hosted recording platform providers to offer a managed service. VoxRecord is flexible enough to manage a wide range of security scenarios: from compulsory, automatic recording of all calls; to on-demand recording for important calls only.

VoxRecord goes beyond the basic requirements of a simple to use, easy to deploy and highly cost effective solution to record mobiles. In addition multiple administrator risk alerts, detailed call logs, location tracking and secure data transfer give a complete solution for monitoring and controlling recorded mobiles for internal or regulatory compliance.

About Voxsmart

Founded in 2006, Voxsmart is a leading provider of mobile call recording solutions for BlackBerry smartphones which offer a wide range of mobile voice solutions that address issues around cost, productivity and risk. Voxsmart, based in the UK, partners with leading providers of communication and call recording solutions to the financial trading community globally.

voxsmart
voice applications for smartphones

Mobile training on the move to keep busy bankers compliant.

BlackBerry® Solutions for Compliance - Mobile Training for Compliance

Challenge

Ensuring that busy banking professionals are up-to-date with training requirements can be challenging, especially amongst senior executives.

These individuals can be difficult to reach, and it can be hard to ensure they find the time in their busy schedules to complete mandatory training to ensure individual and corporate compliance. Many such individuals may find that the only spare time they have to complete training is when they are travelling or away from their desks.

The ability to deliver training modules to bank employees' BlackBerry® smartphones allows them to complete their training at a time and pace that suits them and so improving completion and compliance rates.

Solution

By deploying a mobile learning application on BlackBerry smartphones banks are able to extend their learning, development and compliance programmes beyond the desktop environment, delivering cheaper and faster training, and improved learner performance.

It combines principles of mobility, flexibility and simplicity to bring learning to the business users.

Benefits

- Reduced training costs
- Cheaper to develop than traditional desktop e-learning*
- Improve ROI by leveraging existing investments
- Faster and earlier learning completion
- Greater end-user satisfaction

Mobile Training Solution.

Chalk Pushcast Software

Challenge

Compliance with FSA regulation creates many challenges for financial organizations and finding a reliable way to meet these requirements at a reasonable cost is critical to achieving success.

The ability to distribute rich-media content to mobile users wirelessly is helping organizations to enhance productivity and improve employee efficiency, in a cost effective way.

Solution

Chalk™ Pushcast™ Software is a cutting edge communication tool that helps organizations to effectively train and engage their mobile employees.

Chalk™ Pushcast™ Software delivers highly protected, tracked content to BlackBerry® smartphones for training, compliance, corporate updates, and more.

Users receive multimedia-rich and interactive content through an application on the BlackBerry smartphone, which acts as a portal where dynamic courses and updates are delivered and tracked. Content can be created and distributed with easy-to-use development and deployment tools, and tracking and reporting features provide insight into content completion and comprehension.

Chalk Pushcast Software not only helps to drive organizational efficiencies and increase employee productivity, it's also incredibly user-friendly.

About Chalk

Chalk's award-winning BlackBerry application lets organizations push media-rich content to BlackBerry smartphone users wirelessly, enhancing productivity and improving employee efficiency. Chalk Pushcast Software delivers protected, tracked content to BlackBerry smartphones for training, compliance, corporate updates, and more. Chalk Media Corp. is a subsidiary of Research In Motion.

Benefits

- Reduce training costs
- Increase training completion rates
- Boost employee productivity
- Improve performance with 'just-in-time' information
- Engage and align field-based employees



Above: BlackBerry® Bold™ 9700 smartphone with a screenshot of a Chalk application for BlackBerry.

Challenge

Financial firms have an ever increasing responsibility to train and equip their staff with the most up to date and relevant information. The challenge for the employee is that not only are they expected to process and apply this vast amount of information, they are also required to perform at higher levels and complete greater quantities of work - but with less time. This is where Intuition's partnership with RIM has transformed organisation's working behaviours and performance.

Through BlackBerry smartphones, mobile learning is delivered in a way that allows employees to completed their firms' distributed collateral, in their own time, at their own convenience, wherever required and in a way most expedient to their working behaviours.

Global multinationals as well as small boutique firms are now deploying mobile learning solutions to realise three primary requirements:

1) Financial and Compliance legislations

Firms need a way to ensure individuals remain compliant with the latest requirements and up-to-date on legislation, guidance and other key issues.

2) Continuing professional development (CPD)

Helping financial professionals meet their requirement to complete on-going training in order to retain qualifications.

3) Dissemination of company Sales, Marketing and Messaging collateral.

Providing staff with key messages and information in an exciting and memorable way.

Solution

Intuition Rubicon is an award-winning mobile learning platform that enables organizations to securely deliver training and information to their staff members' BlackBerry smartphones. Employees can receive content such as:

Benefits

- Increase ROI by leveraging existing infrastructures
- Faster and earlier e-learning completion
- Improved learner satisfaction
- Savings on mobile content development



Above: BlackBerry® Bold™ 9700 smartphone with a screenshot of an Intuition Rubicon application for BlackBerry

- Product Spotlights
- Sales Training
- Videos
- Podcasts
- Compliance / Regulatory material
- Performance Supports
- Assessments
- Surveys

Intuition Rubicon enables full progress-tracking and reporting on all content, allowing managers to identify and follow up with individuals who have not completed a particular session or module.

Intuition Rubicon can operate without network coverage, as content is downloaded onto the user's smartphone for subsequent study during downtime for example, when travelling. Research indicates that mobile users can concentrate and study more effectively during downtime. This allows companies to securely and reliably extend their learning and knowledge reach beyond the desktop.

Designed to open standards (SCORM, .MP3, .MP4), Intuition Rubicon can be deployed as a standalone application or it can be fully integrated with LMS/HR/ERP systems.

About Intuition Rubicon

Intuition is a leading provider of technology-enabled learning, offering a full range of products and services designed to support the development and delivery of effective learning programs. Intuition offers a full range of best-of-breed solutions that enable organisations to access, create, publish and deliver rich media content to large, dispersed audiences in a format suitable to the needs of learners and the organisation, when and where they need it.



Discover more about BlackBerry solutions for the Financial Industry:
www.blackberry.co.uk