**Investment Banking**

The Micro Focus® Retain™ Mobile archive provides compliance and convenience for this investment banking firm.

**Overview**
An investment banking firm dedicated to the small-cap public market in Southern California offers its clients a full spectrum of investment banking services, including capital raising, research coverage, trading and market making, merger and acquisition advisory services, and investor conferences.

**Solution**
In the financial world, maintaining confidentiality and regulatory compliance is a top priority. But so is providing convenience to customers. With Retain Mobile, financial firms are able to provide both.

According to the CIO, communicating with text messages and email is essential to employees. With SMS, they can respond immediately to customer requests and move their business along rapidly. But in order to meet compliance requirements set forth by FINRA (Financial Industry Regulatory Authority), the firm needed to be able to archive all text messages going through employees’ BlackBerry smartphones. The firm was determined to provide both convenience and compliance.

To meet those regulations, the firm implemented Retain Mobile. The bank worked closely with its compliance department, and it made sure that Retain met all compliance requirements. With help from Micro Focus support, the IT department was able to quickly test and verify the software and make texting available to employees.

“Given how everyone carries a BlackBerry, it gives us peace of mind to know that Retain Mobile is running on the back end, tracking all the messages and keeping us compliant,” states the CIO of an investment banking firm.

**Results**
Retain Mobile seamlessly archives all mobile communication, including SMS, MMS, BBM Enterprise, BBM, PIN, and phone call logs for BlackBerry Devices. The archive is easy to access and search. The compliance department gets frequent requests for archived information. Most of the time, the requests are for internal purposes, and it is just a matter of running a report to get the necessary information.

“Occasionally, a legal matter comes up with a third party, and we can easily access the data we need,” says the CIO. With Retain Mobile in place, there is no stress, no wondering if the information is complete.

**At a Glance**

- **Industry**: Financial Services
- **Location**: United States
- **Challenge**: The firm needed to archive all text messages to meet regulations such as FINRA.
- **Solution**: Use Retain Mobile to archive all text messages going through employees’ BlackBerry smartphones.
- **Results**:  
  - Fulfills compliance regulations  
  - Offers easy-to-access archive
About Retain Mobile
You need instant communication. Your employees demand it and your business requires it to maintain a competitive advantage. Retain Mobile offers complete and seamless archiving of SMS, MMS, BBM, BBM Protected and PIN messages, and phone call logs. You can have PIN or SMS texting and compliance with Retain Mobile.

“Given how everyone carries a BlackBerry, it gives us peace of mind to know that Retain Mobile is running on the back end, tracking all the messages and keeping us compliant.”

CIO
Investment

www.microfocus.com