



WHITEPAPER

The bout with compliance, regulations and internal communication within the investment industry.

Leading financial institutions are relying on video to manage critical information.

Fully engaged customers represent a **23% premium in share of wallet, profitability, revenue** and relationship growth over the average customer.

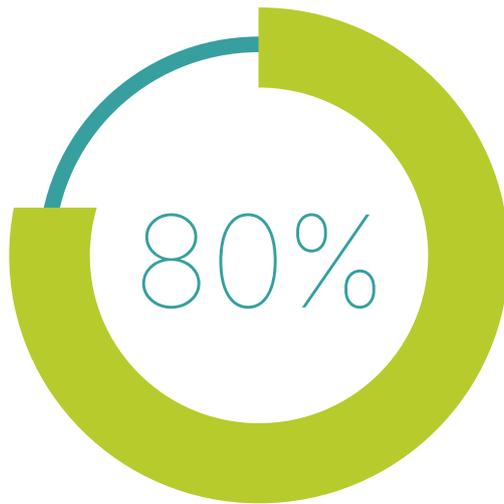
(Gallup)

Financial Institutions are no stranger to disruption with forces redefining the industry with new client expectations, competitors, and a global pandemic. At the same time, MiFID II Directive (Quick-Fix) and other regulations are rewiring the rules for investor protection. The revised provisions cover the entire lifecycle of investment products and services; including how research gets disseminated and electronic communications are handled.

The new client-focused regulatory landscape will require financial institutions to upgrade and refine their processes, their compliance operations and most importantly their communication technologies. The need to keep evolving is certain, to move faster to meet market demand, stay ahead of the competition and meet and exceed client expectations.

A shift to secure video communications

As these organizations respond to increasing demands of regulators to meet new directives, many are proactively focusing on developing robust communication programs. And the centerpiece of these new programs is, in many cases, an **enterprise video platform**. Live or on demand, IT executives know that video communication can be fully automated, easily searchable and consumed on any device—making it the perfect communication solution in highly regulated environments. In fact, if managed well video communication can translate into shorter time-to-compliance and save financial services firms hundreds or even thousands of dollars per year per employee.



of CEOs say the pandemic has accelerated digital transformation.

(KPMG's CEO 2020 Outlook)



The need for a robust enterprise video platform

The pandemic has forced organizations into a massive digital experiment in how to be more nimble, flexible, and fast.

But how, you ask? Below are eight (8) ways using an enterprise video platform can help financial institutions meet compliance directives.

1

1: More Timely Communication

When workforces are dispersed, video messages can be easily created and instantly distributed to employees and clients with full management controls at the user and content levels.

2

2: Strategy Alignment

Video is a great way to present a consistent story across the organization—before the message is taken externally and any room for mis-alignment is eliminated.

3

3: Constant Governance and Compliance

By integrating video content management with enterprise controls and automatic workflows, firms will gain consistent visibility and improve their ability to meet regulatory control and reporting requirements.

4

4: Configurable Security

Executives and analysts can share knowledge quickly across the organization, privately to specific groups of key stakeholders or to larger audiences with no content restrictions

5

5: Opportunities for Feedback

Key stakeholders can submit feedback and questions to the executive team, which can be captured and tracked for future resolution, or to identify gaps in the current process.

6

6: Comprehensive Reporting and Analytics

A video content management system can provide advanced analytics on content review, meeting attendance and overall engagement with the company message.

7

7: Increased Collaboration

Financial institutions can create private communication channels where key team members can share knowledge, insights, and outcomes related to their discipline or functional responsibility.

8

8: Documented Audit Trails

With marketing teams playing a key role in the new directives, automated workflows for approvals and audit trails are key for financial promotions and marketing collateral compliance.

About Qumu Video Engagement Platform for Secure Video Communications

Broaden Your Reach

Qumu Video Engagement Platform helps users create, manage, deliver and experience video across hundreds of thousands of global employees, customers and partners in a work from wherever, whenever world.

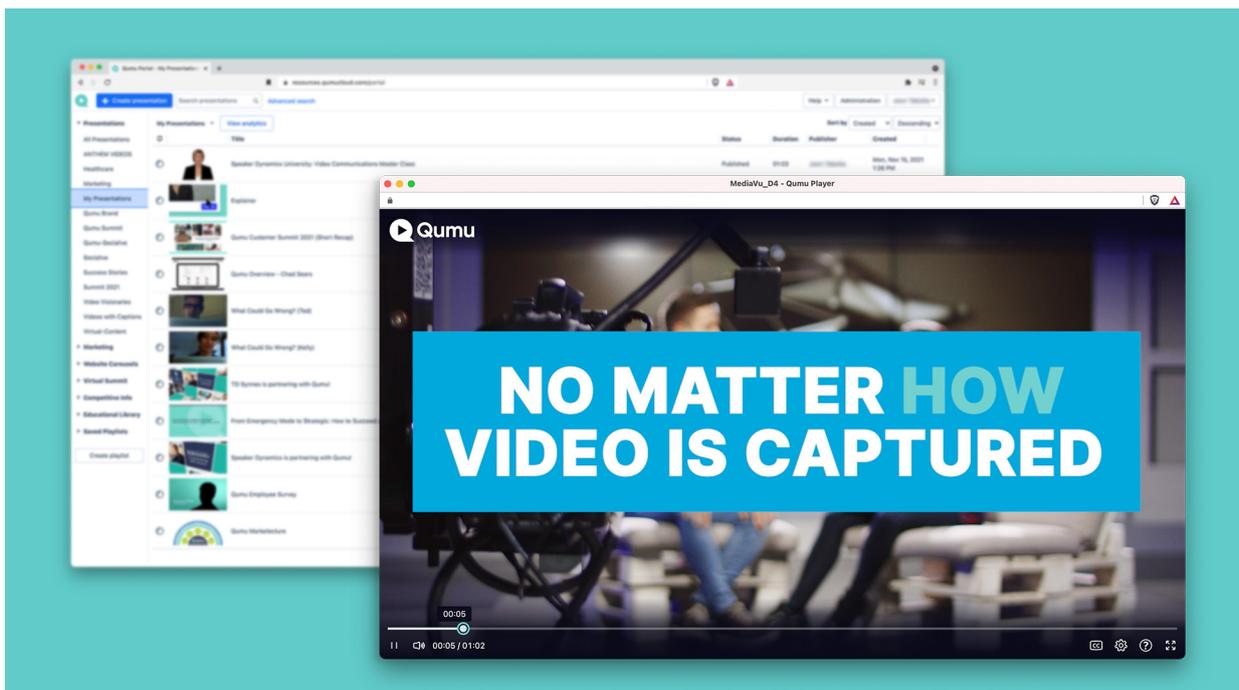
Qumu video presentations drive greater engagement than traditional video formats, and enhance understanding by being accessible and visually engaging.

Videos can be viewed on demand or live on desktops, mobile devices and public displays. They are delivered by embedding directly onto a website or intranet site, or shared via email or URL.

Depending on the security settings of the presentation, it can be delivered to viewers by email, RSS, or by embedding it in other websites either as a link or by using a widget. Email can be sent to individuals or to a group of individuals on a contact list. Advanced users can make use of the API if required. Users can leverage Qumu's registration feature to track attendance and follow attendees learning path.

Large firms report
the average
cost to maintain
compliance
can total up to
**\$10,000 per
employee.**

(Competitive Enterprise Institute)



Content Creator

Creating presentations is easy and intuitive. Users can upload video, audio and Powerpoint presentations as well as record video directly into the presentation.

View Live or On Demand

Our live offering includes a wide range of interactive features that allows presenters to gather feedback, data and opinions from the viewing audience. Our on demand offering retains all interactive features, and allows the viewer watch on their time.

Viewer Portal

Swiftly create viewer portals for company or external groups. Customize the look and feel with colors, logos and layout. Includes search and playlists.

Reporting and Analytics

Evaluating the effectiveness of each presentation is made easy by the built-in reporting engine.

The engine provides real-time metrics and analysis for both on-demand and live presentations. In-depth features such as drop-off curves enable you to see how your viewers engage with content.

Live Polling

Add live polling to your event.

Polls can be automatically displayed to viewers at points along the live presentation with results gathered and displayed. Publish pie charts or bar graphs with poll results and share with viewers instantly.

Moderated Q&A

Live events also feature live Q&A for viewers, who can submit questions or comments, and have them responded to publicly or privately by a moderator through a chat interface. Questions can also be passed through to a presenter screen for real-time response via the live stream.

Advanced Search

Search for content inside your videos and across your video library. Search by keywords, metadata or audio.

Integrations

Leverage current technology with our extensible video platform and broad partner ecosystem – video conferencing, collaboration, digital signage, analytics and more.





Encryption

Automatic protection and encryption of both internal and external video streams.



OAuth Tokens

Only play content from web portals where users are already authenticated.



User Authentication and Single Sign On

Control specific users and groups, and self-service configure SSO thru SAML 2.0 providers.



Content Classification & Approval

Define and enforce different content workflows and classifications for content and groups.



Advanced User Security

Set password policies and enforce them across the environment, including expiration rules, timeouts, password complexity, user name and history restrictions.



Global Content Management

Leverage group-based functional controls and content and user audit trails, with either centralized or regional administration.



Retention Policies

Define content retention by group or by individual asset, with automatic content expiration, deletion and ability to archive.



IP Restriction

Identify and control users of internal or external content, and apply custom rules at an I content or group level.

Learn more at www.qumu.com

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Qumu empowers hyper-distributed organizations to leverage the full power of video to move forward faster. Only Qumu's Video Engagement platform helps businesses build connectedness and shape a culture that is more engaged, motivated, aligned – and human – to drive impact in a work from wherever, whenever world.