

Fulfil your full range of supervision requirements and compliance needs

The Challenge

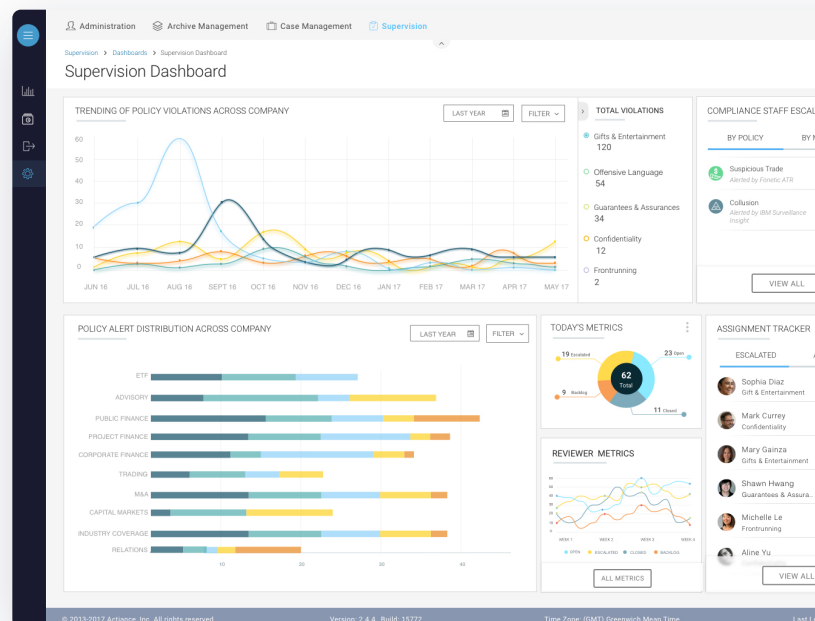
It is critical for financial firms to be able to demonstrate their supervisory system and policy enforcement abilities to auditors as well as proof of the actions taken when potential risks have been revealed. Firms need to stay ahead of risk across the ever-expanding list of communication channels being used by their employees by implementing comprehensive, customizable policy-driven supervision capabilities enabling them to reduce the amount of false positives and more easily spot high-risk content.

The Solution

The Supervision App is the market-leading solution for policy enforcement, compliance and risk mitigation. With all content retained in one place and full conversational context preserved, review teams can quickly spot and act upon potential policy violations. A highly configurable set of workflows supports the efficient escalation of messages and remediation of problematic communications. Summary analytics, reporting and export capabilities make for easy hand-off to regulators or internal stakeholders.

Key Benefits

- ✓ Support for 80+ channels in full conversational context
- ✓ Unified user identities across all channels
- ✓ High speed search, review and data export
- ✓ Scalable, customizable policies that can be applied granularly and/or globally
- ✓ One-click 'proof of supervision' and risk management
- ✓ At-a-glance data visualization and customizable dashboards
- ✓ Extensibility to feed downstream content surveillance tools



Key use cases

Demonstrating enforcement of supervisory policies

Set effective standards and policies across your organization, with reporting tools to prove to the regulators efficiently your system of supervision.

Supervising regulated and non-regulated users

Investigate compliance risks beyond your specific subsets of registered reps, with a full audit trail of all actions taken in the App and rich reporting.

Responding quickly to ad-hoc regulatory enquiries

Make use of powerful, fast, faceted search capabilities to satisfy custom requests, with supplied self-service export tools to deliver requested data on-demand.

Delivering review data for behavioral analysis and trade reconciliation

Use the Connected Archive to feed data to downstream applications for compliance with MiFID II and other regulations.

Periodically inspecting for policy violations

Leverage granular policies to check what data is being shared inside or outside your organization. Enable random sampling as well as lexicon-based supervision of policies.

Supervision integrates seamlessly with the Connected Archive



Connected Archive

The market-leading cloud archive.

Unlike legacy email archives, the Connected Archive preserves full conversational context across 80+ communication channels, enabling real-time interactivity, knowledge and data insights. Designed for clients of all sizes and complexity, the archive scales with your organization across ingestion, search, review and export. The Connected Archive integrates seamlessly with Connected Capture, Connected Apps, and your technology ecosystem.



Contact an account executive

to learn how we can help you add Supervision to your Connected Archive
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