

Fulfill your full range of supervision requirements and compliance needs

The Challenge

Effective electronic communications supervision is a key pillar of financial firms' strategy to meet regulatory compliance obligations and to mitigate legal and other risks.

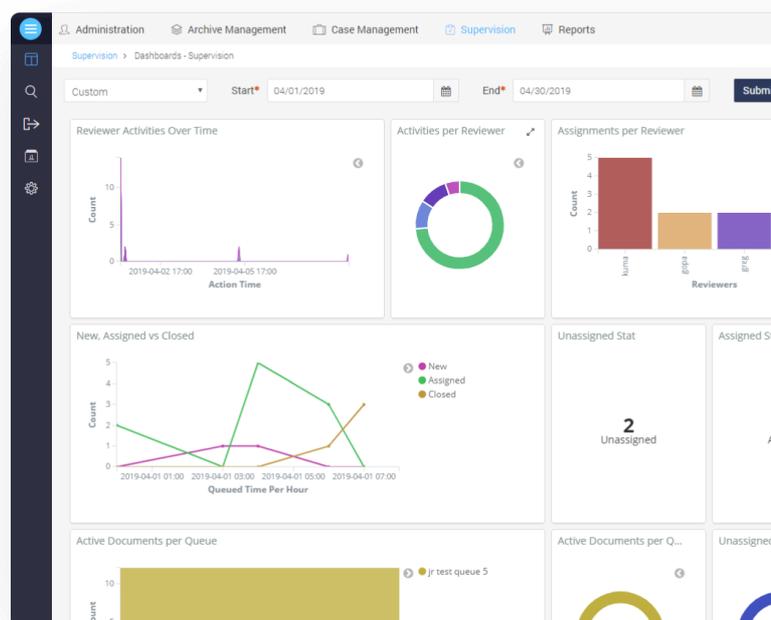
Yet spotting and remediating high-risk activities and content promptly and efficiently is increasingly difficult as operations adopt an ever more diverse and sophisticated array of communication channels used to conduct business.

The Solution

Part of the Smarsh Connected Suite, the Supervision App makes light work of communications oversight, enabling firms to readily identify aberrant activities and efficiently manage review processes. Used in conjunction with the Smarsh Connected Archive, the Supervision App enables the efficient review of conversations taking place across all supported communications channels, with their full context preserved. A highly configurable set of specialized workflows supports the escalation of potentially problematic messages and content for further scrutiny and remediation. Summary analytics, reporting and multiple export formats and options make for easy packaging and hand-off to regulators or other 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, customisable policies that can be applied granularly and/or globally
- ✓ One-click 'proof of supervision' and risk management
- ✓ At-a-glance data visualisation and customisable dashboards
- ✓ Extensibility to feed downstream content surveillance tools



Key use cases

Demonstrating enforcement of supervisory policies

Set effective standards and policies across your organisation, 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 organisation. 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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