



Enterprise Conduct

AI-powered communication supervision
and surveillance solution

A Modern Supervision and Surveillance Solution for Agile Firms

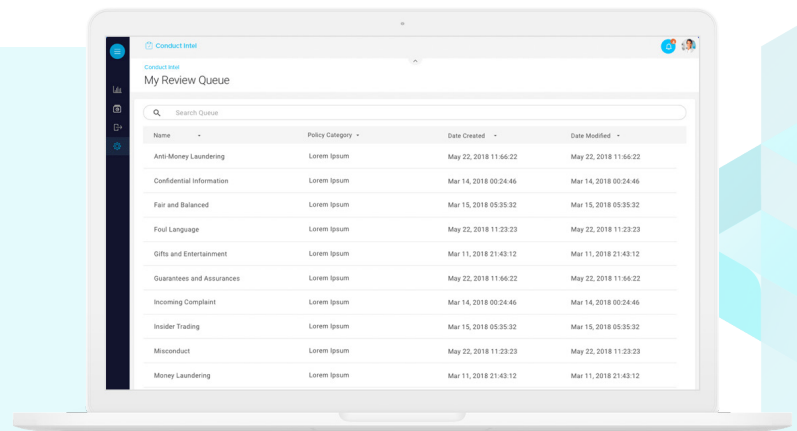
The Challenge

Firms today are facing a tremendous amount of change. Enforcement actions and fines have increased. The introduction of new regulations and the impact of hybrid work have expanded the risk surface. Compliance teams grapple with fractured and disparate supervision and surveillance solutions, whether run independently or bolted together, impacting workflows. Surveillance teams face more false positives, making it harder to uncover new risks while audit teams are challenged to quickly locate documentation needed for regulatory review.

The Solution

Smarsh Enterprise Conduct is a single communication supervision and surveillance solution that improves the agility of supervision, surveillance, and audit teams. All of these teams can use AI/ML and lexicons to leverage insights that improve reviewer efficiency, eliminate backlogs, and uncover real risk across a breadth of communication channels.

Meet global regulatory requirements for the SEC, FINRA, FCA, MiFID II, and more, enabling you to mitigate risk, reduce fines, and protect firms from reputational harm.





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Key Benefits



Surface true risk and reduce the noise with regulatory-grade AI/ML

Enhance your ability to reduce false positives and find new risk by adding prepackaged Standard Scenarios (lexicons) and Cognitive Scenarios (AI/ML) to your policies. Uncover 3x more types of behavioral risks without missing alerts. Regulatory-grade ML maximizes your risk coverage and reduces time spent on reviews by 50% — freeing up your team to work on other projects.



Leverage an integrated workbench to streamline workflows

Test pre-packaged or custom scenarios using real-world data and our drag-and-drop interface. Increase productivity by 2x with Enterprise Conduct's Cognition Studio, an integrated workbench enabling users to build, test, analyze, and promote the scenario in minutes or hours.



Establish a bulletproof transparent audit trail

Provide your board and regulators with PDF documentation for every available Scenario to allow your audit team to quickly locate and explain with confidence why a specific scenario selected mitigates risk. Store and reuse approved scenarios to swiftly respond to regulatory changes without starting from scratch, reducing the risk of fines, and safeguarding the firm's reputation.



Secure supervision and surveillance at scale

The Enterprise Platform is an agile, cloud-native solution that scales with your data. With multi-layer, industry-leading security, data access control, encryption, and segregation of duties, our platform helps future-proof your business with API innovations to meet and exceed the requirements of CISOs and Risk Officers.



Capture, transcribe, and analyze audio communications

Enterprise Conduct's audio provides more accurate native transcription. As the single pane of glass view for supervision and surveillance of both electronic communications and audio, the volume of transcribed audio is reduced — saving time and money.



Leverage the Smarsh Services team of experts to maximize value

Smarsh will be your partner throughout your Enterprise Conduct journey. We have a full breadth of services, including onboarding and implementation services, on-demand webinar training, tailored training with a Smarsh instructor, direct access to 24/7 support and a dedicated technical account manager who knows and understands your environment.