



## Empower compliance and audit teams and reclaim vital resources previously devoted to support tasks

Implement a fully managed, comprehensive software solution for your organization's communications compliance obligations.

### The challenge

Today's IT teams are charged to deliver against the myriad and evolving needs of supervision, surveillance, and audit stakeholders to access, use and produce communications data for regulatory purposes. This can include:

- Testing, analyzing and delivering the analytical capabilities for supervision and surveillance teams
- Managing the connectors for a host of different communications solutions like instant messaging, collaboration applications, text messages, social media, voice and more
- Building and maintaining an ad hoc interface to piece together disparate solutions
- Supporting costly separate user acceptance testing (UAT) environments for supervision and surveillance teams
- Standing by to help the audit team address regulatory requests

Financial services firms are realizing that a traditional supervisory review process is simply not equipped to handle today's communications data — at least not without constant technical support and involvement.

Searching through all this data in legacy systems can take hours when it's needed in minutes. Worst of all, these separate supervision and surveillance systems can't scale, placing a considerable burden on in-house technical resources.

### The solution

Smarsh Enterprise Conduct is specifically designed for today's communications. When paired with a sophisticated cloud-native data warehouse, its regulatory-grade artificial intelligence capabilities empower compliance teams to achieve their goals effectively and efficiently — all without technical teams assisting in surveillance searches and reviews.





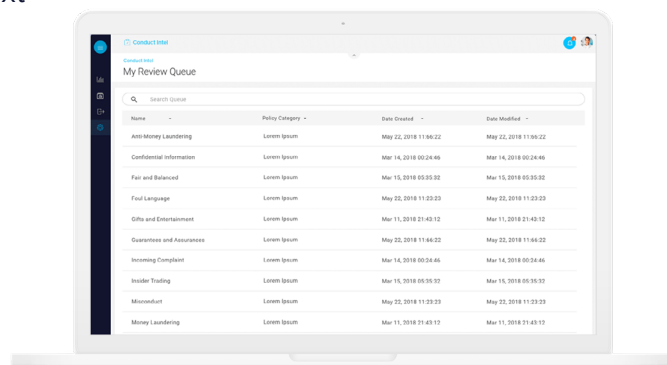
# Enterprise Conduct

An IT use case on AI-powered supervision and conduct surveillance

## Reduce cost, inefficiencies and risk

Achieve higher efficiencies and confidence with cloud-native technology

- Ingest over 100 communication channels in full context
- Get fast, secure, consistent access to your data in one purpose-built solution
- Empower compliance teams to leverage specialized supervision policies and workflows
- Rely on high platform availability, with multi-geography and multi-site failsafe deployment



## Business outcomes

**Meet global and regional data residency requirements with confidence**

Deployment of Enterprise Conduct is available on multiple public cloud infrastructures across multiple geographic regions to meet specific data residency requirements.

**Future-proof against evolving technologies and trends**

Support is continually being added for new and changing communication channels. Open APIs allow for the ingestion of custom content as well as integrations with third-party applications for data analytics and machine learning. Enterprise Conduct evolves alongside your business.

**Stay ahead of growing needs**

Architected as a cloud-native application, Enterprise Conduct takes full advantage of the superior scale and performance provided by the leading cloud providers. All resource-intensive activities, from import and export to search, can scale elastically to provide any service level a customer may require. This ensures the strongest possible commercial ROI.

**Save on operational expenditures with a fully managed service**

Enterprise Conduct is a fully managed cloud-native service that doesn't require specialized knowledge to manage. Smarsh owns all implementation, infrastructure management, bug fixes and other deployments.

**Ensure uninterrupted workflows with top-of-the-line system uptime**

Enterprise Conduct provides fast, consistent access to data with a distributed architecture. This means there is no single point of failure, with virtually no risk of data loss or downtime. Your organization's data is always accessible.



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## Why IT teams choose Smarsh Enterprise Conduct

Smarsh Enterprise Conduct is a single supervision and surveillance system specifically designed for today's electronic communications. It comes with a catalog of both Smarsh Standard and Cognitive Scenarios (built with artificial intelligence and machine learning technologies) that allow compliance teams to:

- Enable supervision, surveillance, and audit capabilities with an all-in-one solution
- Save training and maintenance costs with a single, seamless system with a unified interface
- Dramatically reduce noise in review queues by creating new or customizing existing scenarios to fit unique needs
- Leverage our decades of fintech experience with pre-packaged scenarios to reduce the most common risks, including market conduct, customer conduct, secrecy, change of venue and more
- Decrease false positives by 10 times when compared to lexicon-based approaches
- Surface 2.3 times more risks while reducing the volume of alerts that need to be reviewed by 7.7 times
- Invest in a solution that's future-proof and innovation-ready when new risks require new solutions



The platform's cutting edge, horizontally scalable architecture enables your organization to ingest, search and export your content orders of magnitude faster than legacy supervision systems. It facilitates sub-second searches across millions of records plus the ability to export 6.5TB per day of data on a standard deployment.

All content is retained in its native format and in full conversational context, which reduces supervision and surveillance cost and increases productivity. Enterprise Conduct can also scale to meet your changing data needs with no impact on platform performance.