

Conquer Compliance Challenges through Robust Email Archiving and Surveillance

Industry Challenge

Email remains the critical method of communications for firms and their representatives. Yet, firms are challenged by stringent FINRA and SEC regulations addressing the supervision and recordkeeping of electronic communications and instant messaging. As the use of digital communications continues to increase, monitoring email has become an essential component of a comprehensive compliance program. In order to avoid compliance risks and organizational challenges, such as audits, eDiscovery requests, subpoenas, negative publicity and litigation, firms must enforce a strong supervision policy and implement an effective monitoring and archiving solution.

RegEd Solution

RegEd's *Email Archiving and Surveillance* presents a secure, effective and scalable solution, powerful automation, and efficient reporting capabilities. With the RegEd solution, firms easily archive external and internal emails, conduct on-demand search, and utilize pre-designed email policies to optimize and launch email monitoring programs without delays. *Email Archiving and Surveillance* also serves as a component of the RegEd *Customer Communications* solution suite, integrating with *Advertising Review Management* and *Social Media Archiving and Surveillance* for unified communications and messaging surveillance.



Distinguishing Capabilities

- Compatible with Exchange, GroupWise, Domino, POP3, Postfix and more.
- Unlimited storage available at no extra cost.
- Generated exception reports minimize the manual scanning of archived messages.
- Audit trail reporting provides comprehensive activity records.
- Easily ensure messaging communications by reviewing advertising, email and social media activity in one, centralized solution suite.
- Advanced search options speed information retrieval process.
- Multiple access levels for employees, compliance officers, corporate officers, legal departments and more.

Why Choose RegEd?

RegEd is the leading provider of compliance management, licensing and registration and compliance and product education solutions to the financial services industry. Our solutions deliver unparalleled levels of operational efficiency and allow firms to cost-effectively comply and manage risk associated with state, FINRA and SEC regulation.

- An investment in RegEd technology translates into extraordinary long-term value. Firms can cost-effectively build on their initial investment as their needs grow and evolve, maximizing the return for their compliance spend.
- RegEd solutions are continuously innovated and expanded using input from solution-specific client advisory boards.
- Clients view RegEd as an extension of their organization. They are assigned an experienced implementation project team and have a dedicated support team, including a relationship manager, product support experts, and experienced, engaged customer service professionals.