

# Regulatory Compliance Management for Unified Communications

Deploy powerful, yet flexible, surveillance solutions for regulatory compliance.

The nature of digital interaction is constantly evolving. Challenges range from distributed workforces and evolving regulations to the increasing volume of electronic communications.

Compliance, security, and supervision controls are crucial to protect sensitive information and meet regulations. Requirements address traditional email and text-based communications as well as audio, video, and collaboration data. Non-compliance can result in expensive consequences, regardless of industry. Some of these requirements include:

- **US Securities and Exchange Commission Rule 17a-4:** Retain copies of all business communications sent and received in a non-rewritable, non-erasable format.
- **UK Financial Conduct Authority MiFID II:** Record telephone conversations and keep copies of electronic communications for five years, with the obligation to periodically monitor these records.
- **FINRA Rule 3110:** Supervise electronic communications related to your firm's investment banking and securities business.
- **FINRA Rule 4511:** Store relevant records in a non-rewritable, non-erasable format.

Regulators — including the US Commodity Futures Trading Commission (CFTC), Investment Industry Regulatory Organization of Canada (IIROC), Australian Securities and Investments Commission (ASIC), and Monetary Authority of Singapore (MAS) — have equivalent mandates for the retention, storage, and supervision of electronic communications, including audio.

The good news is that Arctera provides an essential toolkit to navigate the complexities of communication surveillance.

## Enhance Surveillance Efforts to Eliminate Uncertainty

Arctera offers the only end-to-end solution that enables you to manage, protect, and govern data effectively to align with regulatory requirements. The [Arctera Insight Surveillance](#) solution provides comprehensive data visibility from data capture and retention to classification, supervision, and upstream eDiscovery. This allows you to identify and track sensitive data across your digital infrastructure.

## Capture and Preserve Content for Compliance

Collect content from more than 130 content sources including email, Microsoft Teams, Bloomberg, WhatsApp, Zoom and Copilot. Then, securely store data in an immutable, regulation-compliant archive. Capabilities allow you to:

- Ingest and consolidate multiple forms of communication and content.
- Quickly adapt to new message platforms to mitigate compliance risk.
- Preserve content as journaled records in a high-availability repository, protected against unauthorized or accidental deletion.

## Enrich Content Metadata and Control Unstructured Data

Automatically classify all content during ingestion and indexing by policy. Leverage more than 1,400 pre-trained, expert-vetted policies and patterns out of the box for use and customization.

Benefits include:

- AI natural-language processing with built-in features including sentiment analysis and language detection for more than 30 languages.
- Specific communications-compliance policies created by industry experts to identify and alert on behaviors including customer complaints, outside business activities, off-channel signaling, and trade execution concerns.
- Leverage easy-to-use reporting to eliminate waste, reduce costs, and consistently apply data classification policies.

## Automate and Review Processes with Machine Learning

Manage the entire review process seamlessly. Create departments; assign reviewers and permissions; add monitored employees; schedule searches and samples; and conduct reviews, reporting, exporting, and auditing. Everything is built-in via workflows that you can design and control. Set alerts based on your organization's lexicon and classification policies, and based on intelligent-review machine learning.

Key benefits include:

- The ability to surface relevant content, so reviewers don't have to read entire messages or documents.
- Purpose-built review of audio and video content with transcription in the message body.
- A dedicated review media player with transcription that allows reviewers to jump directly to what triggered an alert.

## Optimize Discovery Workflows

Stay ahead of potential legal and investigation issues with purpose-built review and upstream eDiscovery. You can designate reviewers and administrators to perform self-service and online exports of search results quickly. Capabilities include:

- Leverage targeted Electronic Discovery Reference Model (EDRM) collections from more than 130 content sources including collaboration, chat, social media, and voice communications.
- Locate relevant data quickly for discovery, supervision, privacy, and legal challenges.
- Use advanced reporting to view audit trails of individual messages or entire incident histories.

Conquer compliance with Arctera: Establish and enforce data retention policies, manage data privacy and consent, and mitigate risks. This proactive approach to reviewing data and automating workflows enables you to confidently navigate the complex regulatory landscape.

Learn more about [Arctera solutions for compliance and governance](#).

### About Arctera

Arctera, a business unit of Cloud Software Group, is the leading global provider of compliance and governance solutions that enable firms to unleash game-changing technologies into their organizations while minimizing risk. Created in 2024 from Veritas Technologies, Arctera helps the biggest companies in the world monitor and control exactly how their information is being accessed, used and shared. The Arctera Insight Platform is able to capture data from over 130+ different content sources, and more than 280 AI policies help firms streamline compliance and adapt to evolving regulations.



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