

# Enable Compliant Communications Across Your Financial Services Organization

## Current State of the Financial Industry



71%

of employees admit to sharing sensitive and business-critical company data using messaging and collaboration tools.<sup>1</sup>

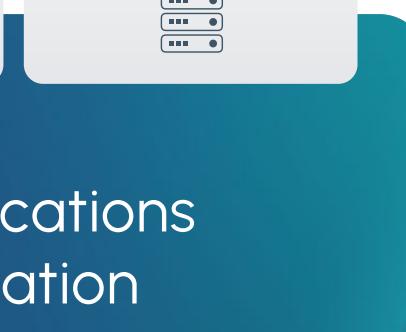
### The Complexity of Regulatory Compliance Puts Organizations at Risk

62%

of surveillance professionals say there are potential gaps in the surveillance of their communications due to the proliferation of channels.<sup>2</sup>

\$2.0B

in penalties against more than 100 firms since the SEC began its off-channel communications sweep in 2021.<sup>3</sup>



56%

of organizations have experienced a cyber incident such as ransomware or data exfiltration that impacted their ability to meet data governance requirements.<sup>4</sup>

## Financial Data Management Essentials

### REGULATORY COMPLIANCE

Mitigate risk and meet regulatory compliance requirements.



### PRIVACY & PROTECTION

Enforce data protection and security requirements.



### CYBERSECURITY RISKS

Prevent threats to sensitive data with proactive data protection.

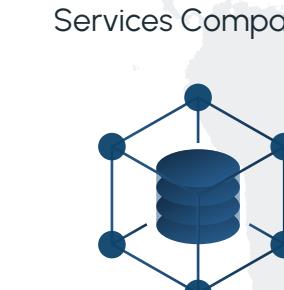


### HIGH VOLUME DATA

Capture, review, and store relevant content for compliance.



## Preserve and Monitor Communications for Compliance and Risk Mitigation



### Capture Content

Expand discovery capabilities across chat, email, social media, voice communications, and more.



### Archive Anywhere

Extend data archive reach with deployment options spanning on-prem, hybrid, multi-tenant SaaS, and more.



### Reduce Noise With AI

Identify and safeguard sensitive data using AI to target and apply appropriate controls.



### Identify Relevant Content

Conduct surveillance and surface critical data with machine learning intelligence.



130+ Data Sources Captured



1,400+ Classification Patterns & Policies



AI & ML Best-in-Class AI & Machine Learning



### Data Compliance & Governance Solutions



Arctera provides an unified platform of compliance and governance solutions that synthesize intelligence across data sources to surface relevant information, deliver actionable insights, and reduce the risk of costly regulatory fines.

Learn More

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1. The Not-So-Silver Lining of Cloud Service Providers' Tools. Veritas.com. (2022, October 10).

2. The Rise of the Surveillance Bank. ILoD.com. (2022, May 25).

3. "SEC Enforcement Year-End Overview," White & Case, December 2024.

4. "SEC Cloud Security Year-End Overview," White & Case, November 2024.

5. https://fortune.com/ranking/fortune500/2023/