

# 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 Veritas provides an essential toolkit to navigate the complexities of communication surveillance.

## Enhance Surveillance Efforts to Eliminate Uncertainty

Veritas offers the only end-to-end solution that enables you to manage, protect, and govern data effectively to align with regulatory requirements. The Veritas 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 in the cloud.

## Capture and Preserve Content for Compliance

Collect content from more than 120 content sources including email, Microsoft Teams, Bloomberg, WhatsApp, and Zoom. 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 300 pre-trained, expert-vetted policies out of the box, with more than 1,100 patterns 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 120 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 Veritas: 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 [Veritas solutions for compliance and governance](#).

### About Veritas

Veritas Technologies is the leader in secure multi-cloud data management. Over 80,000 customers—including 91% of the Fortune 100—rely on Veritas to help ensure the protection, recoverability and compliance of their data. Veritas has a reputation for reliability at scale, which delivers the resilience its customers need against the disruptions threatened by cyberattacks, like ransomware. No other vendor is able to match the ability of Veritas to execute, with support for 800+ data sources, 100+ operating systems and 1,400+ storage targets through a single, unified approach. Powered by Cloud Scale Technology, Veritas is delivering today on its strategy for Autonomous Data Management that reduces operational overhead while delivering greater value. Learn more at [www.veritas.com](http://www.veritas.com). Follow us on X at [@veritastechllc](https://twitter.com/veritastechllc).

# VERITAS™

2625 Augustine Drive  
Santa Clara, CA 95054  
+1 (866) 837 4827  
[veritas.com](http://veritas.com)

For global contact  
information visit:  
[veritas.com/company/contact](http://veritas.com/company/contact)