

# Put an end to compliance issues, with an expert partner behind you.

**Today more than ever, financial companies are seeking to mitigate risk and meet regulatory obligations.** But trying to manage this in-house can be a significant challenge. That's why Xerox has teamed with H5, a leader in information search and analysis, to create a comprehensive compliance solution that's "just what the doctor ordered" for firms.

Our compliance solution addresses a broad spectrum of today's risk and compliance issues. It's designed to provide financial services companies with a more complete alternative to protecting their institution and meeting regulatory obligations. In developing this solution, our objective was simple: Make it easier for financial firms to address their full range of risk and regulatory requirements while also reducing costs and improving operational efficiency.

Our solution includes:

- Social Media Exposure Analysis
- Communications Monitoring and Surveillance
- Email Archiving
- Trading Activities Monitoring and Reporting

## Covering all the Bases

All of our compliance services are easily accessible and ready to go to work protecting your company. With these services behind you, you can have more confidence that your firm will be on top of regulatory compliance and risk mitigation. Here's more detail on what we provide:

### Social Media Exposure Analysis

- Monitor what is being said about your company and your products.
- Monitor what is being said by or attributed to your employees.

### Communications Monitoring and Surveillance

- Full complement of FINRA 3010 administrative functionality and OSJ support.
- Reporting and documentation to simplify regulatory examinations.
- Rich search and analysis eliminating nearly all False Positives and finding more critical messages that should be reviewed.
- Ability to extend the scope of review to address company issues in addition to SEC or FINRA requirements.

### Email Archiving

- Hosted archiving that meets all SEC requirements for investment companies, investment advisors and broker-dealers.
- Dual site storage, immediate access, third-party undertaking, indexing, retention, online access.
- Includes email, instant messaging and social media communications.



## Trading Activities Monitoring and Reporting

- Large dollar activity
- Round trips
- Redemption frequency
- Turnover ratio

## Benefits

- 360° visibility of your company's compliance obligations.
- Less cost, time and resources required for sustaining compliance.
- Centralized, secure electronic repository for managing data on all aspects of compliance and risk management.

## Contact Us

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