



What's Compliance Costing You?

Why Financial Services Organizations Need Modern Supervision



Average global corporation faces 30,000 legal and regulatory recordkeeping requirements



Supervision is the top operational risk

Top 10 Banks spend over \$50M/yr on Supervision technology



Financial services firms face regulatory audits every six months in order to prove they supervise their broker/dealers



\$15M fined to leading financial services organization for "failing to adequately supervise communications"

FINRA penalties have reached around \$100 million in consecutive years



Reviewers spend too much time searching for violations



Requirements for review of certain internal communications;



Obligations to actively monitor for insider trading, including the duty to conduct internal investigations.

HOW MIMECAST CAN HELP:



SEC 17a-4 validated



FINRA Compliance Vendor Directory



Integrated Archiving + Supervision + Cybersecurity platform

Flexible workflows keep you in control of compliance



Timesaving review with highlighting, shortcuts & filtering



Complete visibility and audit-readiness reduces risk & exposure

End-to-end zero cost migration



No minimum seat requirement

“Feature rich product, fast search of archived emails, very knowledgeable and accountable sales and support staff”

Liberty Mutual

“It just works. Mimecast gives us better capabilities to meet tight compliance deadlines.”

Medium Enterprise Financial Services Company

Mimecast Supervision introduces a new level of efficiency to the email supervision and review process for financial services organizations. Complete and accurate audit readiness is achieved with less noise, fewer resources and controlled costs.

For more information, visit

<https://www.mimecast.com/products/cloud-archive/compliance/>

¹ARMA

²FINRA 2019 Risk Monitoring and Examination Priorities Letter