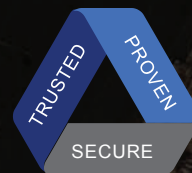


# CAS Compliance and Supervision

## Trusted. Proven. Secure.



### PRODUCT HIGHLIGHTS

- Complete compliance recordkeeping for FINRA 4511 and SEC 17a-3 & 17a-4 correspondence preservation
- Advanced supervision for FINRA Rule 3110 and 3120
- Audit all actions and data with detailed reports and logging
- Utilize best-in-class supervision case management and workflows
- Universal language and format independence
- Search in real-time – no queuing or waiting for results
- Detailed, customizable reporting and saved searches
- Flexible, customizable policy engine
- Advanced search and alert capabilities
- Smart, real-time monitoring and filtering

### Comply with Regulators

CAS supports streamlined compliance capabilities with customized email supervision policies & audit for regulatory agencies including FINRA, SEC, FTC, HHS, CFTC, FERC, GPO, FFIEC, CFPB, FDA, NASD, HIPAA, Sarbanes Oxley, IIROC, FCA, PRA, ICO, EU, HKMA, SFC (HK) & many others.

### Smarter Supervisor Management, Review and Export

CAS delivers sophisticated compliance and multichannel supervision capabilities for regulated firms, investment advisors, pharmaceutical and energy companies, and other organizations facing challenging regulatory obligations. CAS includes automated policy enforcement enabling enforcement of supervision and related recordkeeping and data preservation obligations.

The CAS Supervision module supports streamlined compliance review with customized email supervision policies and audit trails for FINRA, SEC and other regulatory agencies' rules. CAS Supervisor also features concept searching, automatic categorization, case management, and real-time/post-process monitoring. With CAS, organizations can proactively enforce and monitor adherence to a wide range of rules and policies.

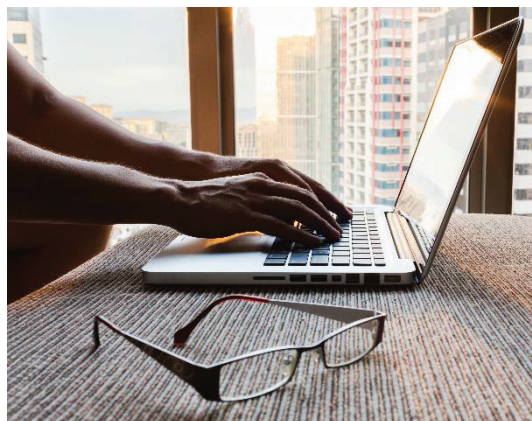
CAS Supervisor enables analysis by facets, including content type, such as a social media 'post' versus a 'reply' or a 'like', group sampling, analysis of participation in a thread, contextual analysis such as appearance or absence of other key information, word and phrase proximity analysis, and analysis of content, attachment and metadata.

### ARCHITECTED FOR HIGH MESSAGE VOLUMES

CAS Supervisor scales to meet the most demanding requirements. Messages are delivered to reviewers quickly, and search is fast, reliable and accurate.

### EMPOWER YOUR COMPLIANCE OFFICERS

Your compliance team will be able to automate the import and manage the organization of employees into risk-defined groups from Active Directory, configure the amount and type of sampling, build configure policy filters, and review, escalate, and investigate alerts using Supervisor's configurable workflows.



## ABOUT CAPAX DISCOVERY

Capax Discovery helps its customers reduce information governance costs and risks while maximizing data value. Capax is the industry leader in providing archiving, information management, discovery, and compliance solutions for litigation and regulatory requirements. We have partnered with HP and Microsoft for over a decade to create marquee archiving solutions, compatible with hundreds of different technologies. As the most trusted and secure archiving solution on the market, CAS is backed by our world-class services and technical support, as well as our expertise in migration, consulting, and managed services. Proven software and services you can trust.

## LET'S TALK

Contact us today to discover how Capax and CAS will solve your information governance challenges.

888-682-8900

[info@capaxdiscovery.com](mailto:info@capaxdiscovery.com)

## INTERROGATE VIRTUALLY ANY COMMUNICATION

CAS Supervisor enables multichannel monitoring of email, call recording, Instant Message platforms such as Skype and Bloomberg, and Social Media such as Twitter and LinkedIn via our partner Actiance, including attachments, all from a single secure feature-rich supervisory client.

## BEST IN CLASS SEARCH AND DISCOVERY

CAS features powerful cutting edge discovery and search capabilities. CAS Supervisor allows users to search all sources - email, files, recorded calls, documents, IM, social media - from a unified, feature rich client.

## LESS NOISE WITH SMART REAL-TIME MONITORING AND FILTERING

Target and find the riskiest messages via integrated concept-matching technology. Filter by groups, message direction (inbound/outbound), or communications channel, policy alerts, random sampling, or a combination of both. Greater relevancy of messages brought forward for review yields less time spent.

## CAS Overview

CAS is an enterprise-grade, scalable and comprehensive archive software solution, bringing order to information chaos by putting you in control of your data.

CAS delivers industry-leading information governance for the entire enterprise. Data from across an organization can be rapidly searched, preserved, and managed through its entire lifecycle via connectors with dozens of enterprise technologies. And CAS is built with updated features specifically designed to meet today's litigation and regulatory obligations.