

Gain insights on how to enhance your digital communications governance (DCG) through the innovative capture, archive, and surveillance of eComms.



Managing compliance in a digital world

Rising Conduct Risks:

Employees increasingly use electronic platforms to communicate with colleagues and clients, which can lead to increased regulatory and reputational risks at your firm.

Global Regulatory Scrutiny:

Regulators worldwide are closely examining how firms manage and mitigate these risks.

Key Actions:

Align your communications compliance program with global regulatory expectations.



Comprehensive capture

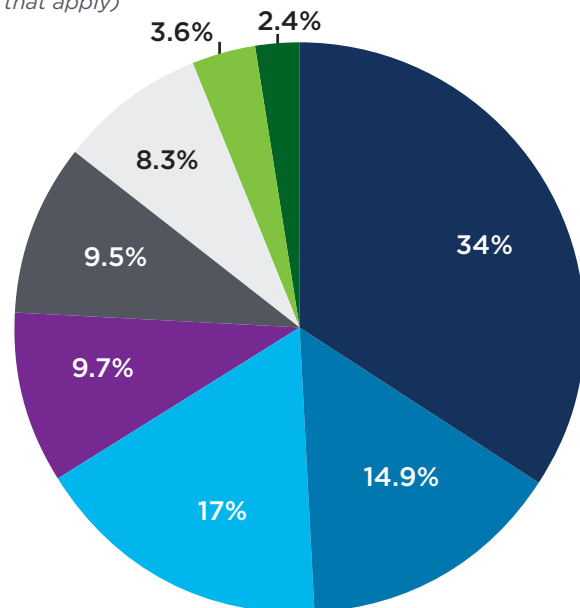
Ensure:

- » You capture all relevant employee communications.
- » Employees adhere to the prescribed communication channels outlined in your policies.
- » Your policies encompass all business communication platforms.

Which methods of communication does your firm permit for business purposes?

(Select all that apply)

- Internal collaboration tools (e.g., Slack, Teams)
- LinkedIn
- Instant Bloomberg (instant messaging)
- External collaboration tools (e.g., iMessage, SMS, WeChat, WhatsApp)
- Do not permit use of any communication methods other than business email and telephone
- Only allow the use of personal email, texting, instant messaging or social media for emergencies
- Personal email
- Other Social Media (e.g., Facebook, Instagram, TikTok, X)



Stats from the 2024 ACA Conference.

Are you capturing all of the communication platforms your employees use?

Questions?

Manage and monitor the flow of sensitive information, identify potential conflicts of interest, and mitigate insider trading risk with ACA. [Contact us](#) to learn more.



Communication archive

Key considerations

- » Archive your firm's business communications for the regulator-prescribed retention period.
- » Ensure you can quickly and easily retrieve and extract communications in the event of an audit or investigation.



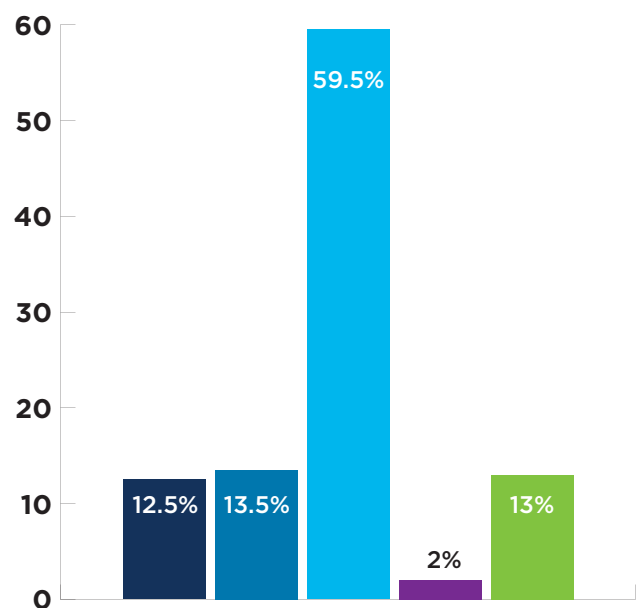
Risk surveillance

Questions to ask:

- 1 Are you proactively reviewing communications on a regular basis?
- 2 Are your reviews proportional to the volume of communications your firm generates?
- 3 Do your reviews consider sentiment, conduct, relationships, content, message metadata, context-aware sentences, and document-level clustering?
- 4 Does your process adequately identify items of interest?
- 5 Where issues are identified how are you documenting your investigation, escalation, and resolution?

Which detection methods are currently part of your communications surveillance?

- Random sampling
- Lexicon-based
- Both random sampling and lexicon-based
- AI/NLP
- All of the above



Stats from the 2024 ACA Conference.

Questions?

Manage and monitor the flow of sensitive information, identify potential conflicts of interest, and mitigate insider trading risk with ACA. [Contact us](#) to learn more.



Training

Regular training ensures employees understand and comply with communication policies.

With what frequency does your firm conduct certifications for off-channel communications?

50.4%

Quarterly

8.1%

Semi-Annually

30.4%

Annually

11.1%

None/ I don't periodically certify

Data from ACA's [webcast](#) Tech-Enablement of Your Off-Channel Communication Surveillance.



Reporting analytics and audit trails

Key capabilities:

Demonstrate Compliance:

Ensure your firm can prove to regulators that all communications are being captured, archived, and reviewed in accordance with industry standards and regulatory requirements.

Document Employee Acknowledgment:

Maintain thorough records of your employees' understanding and acceptance of communication policies.

Monitor Off-Channel Communications:

Provide evidence that your firm actively searches for and addresses off-channel communications, even when they fall outside of company policies.

Why ACA's ComplianceAlpha Platform

ACA leverages unrivaled expertise to develop innovative features, supported by hundreds of former regulators, compliance officers. Our experts provide comprehensive compliance and regulatory technology services globally, and our team delivers scalable, cost-effective solutions tailored to your needs, evolving with changing compliance requirements.

ACA's eComms Technology Solutions empower your Digital Communications Governance (DCG) program to manage and monitor the flow of sensitive information, identify potential conflicts of interest, and mitigate insider trading risk. By reducing false positives and providing precise alerts, we enhance your DCG operations while cutting costs.

Trusted by over 1,250 financial services firms globally, ComplianceAlpha helps protect and grow your business.

For more information

Contact us at www.acaglobal.com

Or call us at US: +1 (212) 951-1030 | UK: +44 (0) 20 7042 0500