

# Compliance Solutions for Financial Services



Prevent

Detect

Track

Respond & Resolve

Financial services organizations regularly face internal and external compliance issues that are increasingly the focus of public and regulatory attention. Oftentimes complex groups of entities, with large numbers of internal and external stakeholders to consider, it is vital for financial services organizations to create open and collaborative environments for staff members to work efficiently and effectively. However, the balance must be maintained between collaboration and ensuring it protects information from falling into non-compliance with industry-specific regulations and policies.

AvePoint Compliance Solutions helps financial services organizations implement and deploy software solutions that enhance user experience and adoption, while helping protect sensitive information in order to satisfy compliance regulations.

## Key Challenges

How do we **prevent** customer financial and personal data breaches, and comply with multi-jurisdictional regulation and legal requirements?

Proactively integrate complex legal mandates including security regulations (SOX, GLBA, and FSA), and privacy acts (EU DPA) into compliance solutions.

How do we **detect** privacy data leaks, while partitioning and separating regulated data types?

Find and detect compliance violations in collaboration and content management systems with an efficient and effective approach.

How can we **track** historical sharing and accessing of sensitive data?

Collect, assess, analyze, and monitor compliance violations for risk management and due diligence.

How can we **respond and resolve** customer information leaks?

Offer a structured and automated approach to data breach prevention and response

# AvePoint® Compliance Solutions for Financial Services

AvePoint Compliance Solutions help financial services organizations solve complex compliance problems by bridging the gap between Compliance, IT and business in order to begin and maintain a constructive, productive, and complaint environment. AvePoint Compliance Solutions help mitigate many of the challenges that the financial services industry faces today, including data breach and response, data privacy issues related to acquisitions, privacy, outsourcing and data restriction, disclosure of personal data to third parties, and cross-border transfer of data.

Prevent	Detect	Track	Respond & Resolve
<ul style="list-style-type: none"> <li>• Customize compliance policies for post-acquisition integration of IT systems, shared service centers, and IT transformation</li> <li>• Manage privacy data, particularly surrounding customer data, employee data, outsourcing, and data restrictions across a variety of IT systems and multiple geographic locations</li> </ul>	<ul style="list-style-type: none"> <li>• Scan and monitor enterprise content and activities in real time or on a schedule to identify compliance violations</li> <li>• Provide multiple perspectives on potential risk within content in order to determine risk levels and priorities</li> <li>• Automatically send alerts and notifications to stakeholders for decisive action</li> </ul>	<ul style="list-style-type: none"> <li>• Measure and validate risks with trend analysis, historical reporting, and a point-in-time view of target repositories for roll-up reporting to stakeholders</li> <li>• Automate the process of forensic analysis of privacy breaches</li> <li>• Document and automate privacy impact assessments</li> </ul>	<ul style="list-style-type: none"> <li>• Appropriately disclose personal data to third parties, including governmental agencies, as well as cross-border transfer</li> <li>• Facilitate the management of the privacy implications of mergers and acquisitions and outsourcing</li> <li>• Take appropriate remediation to compliance violations in accordance with organization-specific needs</li> </ul>

AvePoint Compliance Solutions allow company executives, compliance officers, General Counsels, Chief Privacy Officers, IT Risk Managers, Chief Information Security Officers, and Chief Information Officers to implement automated compliance reporting, measurement, validation, and controls for their enterprise-wide collaboration systems. Ensure that information managed through these systems is available and accessible to the people who should have it, and protected from the people who should not. If and when a breach or an incident does occur, AvePoint's Compliance Solutions can swiftly detect, track, respond, and resolve. This mitigates the likelihood of a catastrophic incident, and helps provide information that will lead to system hardening and improvements for the continuous life cycle that must make up a successful risk management program. Interact with regulators and auditors in such a way that you can demonstrate due diligence to comply with privacy and data protection requirements.

If you would like a solution demonstration or receive pricing information, please contact: [ComplianceSolution@AvePoint.com](mailto:ComplianceSolution@AvePoint.com) or your AvePoint sales representative.

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