ZL **UA** FOR COMPLIANCE

Dynamic compliance for the regulations of today and tomorrow.

With the influx of new data, data sources, and evolving regulations such as FINRA Rule 3110, SEC 17a-4, and privacy regulations, compliance in large enterprise can be exceptionally complex. As companies adapt to the changing landscape, they need a compliance solution that is versatile enough to adapt with them.

ZL UA for Compliance offers unparalleled control over all enterprise data, leveraging 100% email capture and a highly customizable lexical engine to detect, review, and even prevent incompliant emails. Metadata and content analysis lend insight into all file sources, enabling organizations to identify and act upon personal information to remain compliant with GDPR. All built within a singular, elastic architecture that can scale to even the largest organization's data environment.

- **FINRA Rule 3110**
- **SEC Rule 17a-4**
- **FERC 717**
- **GDPR**
- **CCPA**

ZLTECH

# ALL ENTERPRISE DATA, ONE DEFINITIVE SOLUTION

CONTENT & METADATA ANALYSIS

Recent privacy regulations require businesses to find and manage personal data across the enterprise. However, the sheer volume of dark data in organizations makes this nearly impossible without the right technology. ZL UA for Compliance provides metadata analysis, advanced sampling techniques, and visualization features to highlight hotspots of personal information in file shares. Reviewers can get a more in-depth look through full content analysis, which provides a comprehensive view of enterprise documents. Once identified, documents can be classified, remediated, and managed long-term, enabling businesses to meet subject access requests, a central requirement of privacy regulations.

PREVENTION AND DETECTION

ZL UA for Compliance puts organizations back in control of risk created by employee emails. The platform allows compliance departments to review emails after or even before delivery, preventing potentially non-compliant emails from ever sending. Post-review routes copies of flagged emails to a designated review inbox after they are sent while pre-review scans emails and attachments for potential violations and blocks potentially noncompliant emails from sending until they are reviewed. These functions use a point system where each violation is assigned a score, and should a defined threshold be reached, the email gets flagged for either pre-review or post-review. Violations are detected using ZL UA's powerful lexical engine, which uses rules
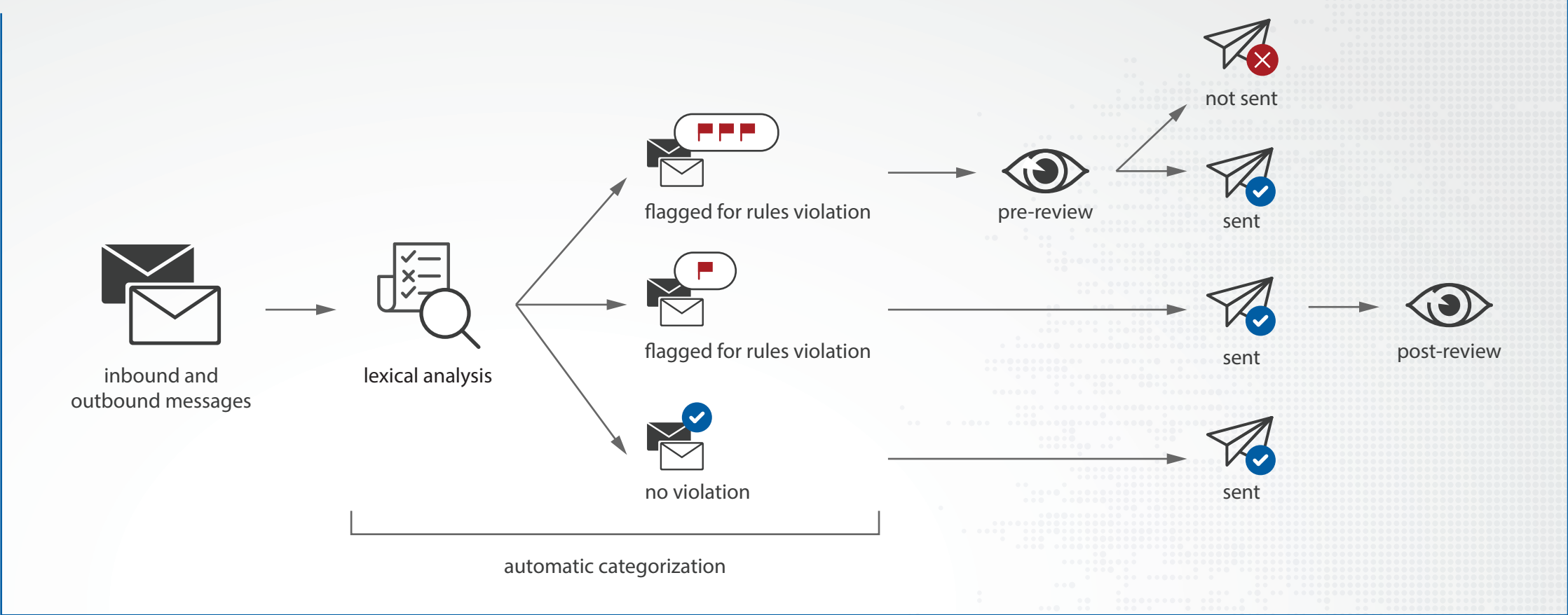
based on keywords, phrases, wildcards, proximity, word patterns, inclusion/exclusion, contextual pattern recognition, surround queries, and metadata based on employee's user tags, location, and role. ZL UA's flexible rules-based engine can be tailored to fit virtually any review requirements.

MULTI-REVIEW PROCESS

Multi-review options allow compliance reviewers to escalate emails to multiple reviewers and departments vertically and horizontally, providing the required flexibility for unique departmental structures. Each escalated email creates multiple virtual trackers. Managers can also assign specific employee's emails to an alternative review process with additional compliance rules beyond those specified by their department.

ADVANCED SAMPLING

For organizations that must review a particular percentage of emails to meet compliance requirements, ZL UA's advanced sampling curates a representative sample of all outgoing messages to be reviewed, using a proprietary algorithm. This feature is used alongside ZL UA's automated flagging, ensuring organizations meet their email review quota.

UNIVERSAL SEARCH

Compliance reviewers can quickly search through the entire enterprise from a single platform: Email, social media, file shares, SharePoint, and instant messages, and many other data sources can all be accessed from a centralized platform. Searches can be saved and run automatically for a streamlined workflow.

ON-THE-FLY ANALYTICS

ZL UA allows multiple complex queries to be run simultaneously, with built-in analytics and visualizations generated on top of those search results. For instance, email networks are displayed via web visualizations. Within this visualization, accounts are assigned power rankings based on email content and metadata, showing who is truly at the center of conversations around certain topics.

COMPLIANCE REPORTING

ZL UA for Compliance logs every action performed on all data within the archive, including reviewer actions, searches, policy modifications, and user privilege changes. This audit trail provides custom and standard reports for full defensibility.

SAMPLE REVIEW PROCESS

inbound and outbound messages → lexical analysis

flagged for rules violation → pre-review → not sent / sent

flagged for rules violation → sent → post-review

no violation → sent

automatic categorization

BEYOND COMPLIANCE

Many vendors provide point solutions to address particular regulations, or solutions that are "integrated" with other components of data management, yet they often struggle to synchronize within an organization's overall governance strategy. Problems can arise when data contained in these point solutions is needed for eDiscovery or other purposes, in which case organizations face disjointed retention, inconsistent search, and burdensome data transfer processes.

In contrast, ZL UA for Compliance operates as a function of ZL Tech's comprehensive information governance platform. Built upon a single code base, with only a single copy of data for all governance functions, ZL UA gives compliance officers access to the entirety of enterprise data. Regardless of an organization's size or industry, ZL UA for Compliance ultimately provides the dependability to meet today's regulatory demands, and the versatility to meet tomorrow's.

ZL UA is recognized as a Leader in the Gartner Magic Quadrant for Enterprise Information Archiving, and serves organizations across the Fortune 500 and beyond, including 5 of the top 10 financial services companies. Backed by 20 years of expertise and Microsoft Azure, ZL UA provides an enterprise-ready platform to address expanding data management requirements.

ZLTECH