



Financial Services Policies

Overview

The Sentrion Financial Services Policies Application provides a very broad and complete set of policies that can be fine-tuned to meet regulatory compliance, corporate governance and client privacy requirements for any business that needs to control and archive financial information sent by email.

Audience

Commercial and investment bankers, financial supermarkets, publicly traded companies, and companies that process payment card transactions within the United States.

Key Features and Functionality Overview

Money makes the world go around. That's why enterprises of all kinds have strict policies in place regarding the proper flow, protection and retention of financial records. And in addition to these corporate governance policies, many companies have to demonstrate compliance with strict federal and state mandates regarding the release, communication, and retention of financial information. The penalties for violating these rules can range from substantial fines up to and including prison terms for a company's chief officers.

Although CxOs may be on the hook for any violations, the task of controlling information flows and demonstrating compliance falls on the company's security, compliance, and loss prevention departments. Depending on the nature of the business, they need a reliable solution for enforcing compliance to regulatory and industry standards in one or more of three broad areas:

- Ensuring privacy and confidentiality through data loss prevention measures as required by federal laws such as the Gramm-Leach-Bliley Act (GLBA), state laws such as SB1386 in California, and industry standards such as the Payment Card Industry Data Security Standard (PCI DSS)
- Ensuring compliance to securities laws, such as the reporting and disclosure requirements of the Sarbanes-Oxley Act (SOX) and the U.S. Securities and Exchange Commission's Regulation FD (Fair Disclosure)
- Ensuring strong corporate governance in the interests of shareholders, employees, creditors, customers, and other company stakeholders

We have developed Sentrion Financial Policies to meet all these needs for any business that sends financial information via email—even when trade receipts, statements, and other records are generated and sent automatically. We customize the application to your specific requirements, including your data sources for identities and permissions, your disclosure rules, and your data retention, accounting, and audit processes. We can even integrate the solution with various message archiving products that will take an SMTP injection of a message, such as the CA Message Manager product, for automatic archiving of financial messages.

When combined with our Incident Remediation and Reporting Application, Sentrion Financial Policies provide a complete solution for monitoring, managing, and enforcing compliance. Depending on the policy triggered, an event can be generated in the compliance workflow to quarantine a message for review, log the incident for audit, or any other appropriate action. And it all happens in the mail stream on the Sentrion—avoiding the expense and communications delays of third-party add-on products. Now that's smart money management.