



### Paragon's ECCRM Accelerators

Through its experience, Paragon has developed accelerators that deliver lower cost of ownership and rapid time to market. Our framework includes templates for:

- ▶ Compliance Readiness Assessment
- ▶ Compliance Maturity Model
- ▶ Strategy Implementation Roadmap
- ▶ Product Evaluation and Selection
- ▶ Technology Implementation and Integration
- ▶ Compliance Reporting and Monitoring

Our accelerators give clients the confidence that their compliance concerns will be addressed by knowledgeable practitioners.

### Achieve Compliance, Manage Risk, Reduce Costs

Recent regulatory changes and increased litigation are driving financial services firms to address how they handle uncontrolled electronic communications (e.g. e-mail, IM, deal rooms). According to an industry survey, more than 60% of organizations already have been ordered by a court or regulatory body to produce employee e-mail as part of a legal discovery or regulatory process. For many of these firms, the operational inefficiency of this process creates costly fees and potentially sets up the risks of unpreparedness – fines, censure and negative impact on reputation and stock price.

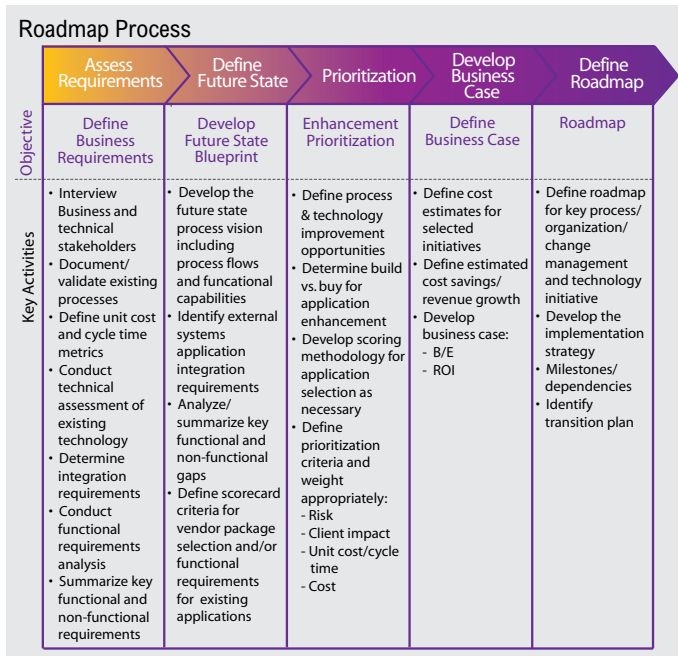
Paragon has developed a Solutions framework, Electronic Communications Compliance and Risk Management (ECCRM), to help firms meet regulatory demands for retention, supervision and legal discovery. The ECCRM solution provides the archiving, surveillance, legal hold and ediscovery capabilities required for e-mail and other electronically generated content. This scalable solution is easily adaptable as data volumes increase and compliance requirements evolve. Paragon's solutions can also help set the stage for implementation of a comprehensive ediscovery program that minimizes exposure, reduces operational costs and supports company-wide compliance.

### Paragon's Solutions for the Electronic Communications Risk Management Life Cycle

Solution Description	Business Function	Key Features	Business Benefits
Electronic Archiving	Electronic communication archival and retrieval	<ul style="list-style-type: none"> <li>• Real-time capture of e-files</li> <li>• Redundant tamper-proof WORM</li> <li>• Compliance with SEC 17a-4, NASD 3110, NYSE 342-440 and MIFID</li> </ul>	<ul style="list-style-type: none"> <li>• Compliance</li> <li>• Reduced litigation exposure</li> <li>• Reduced operational costs</li> </ul>
Electronic Surveillance	Electronic communication monitoring and active policy management	<ul style="list-style-type: none"> <li>• Compliance audit and review</li> <li>• Rapid search and retrieval</li> <li>• Real-time surveillance</li> </ul>	<ul style="list-style-type: none"> <li>• Compliance</li> <li>• Reduced litigation exposure</li> <li>• Reduced operational costs</li> </ul>
Legal Hold	Suspending ability to delete records that are relevant with expectation of possible litigation	<ul style="list-style-type: none"> <li>• Automate audit trail notification</li> <li>• Enforce holds on unstructured data</li> <li>• Manage collection of discovery workflow</li> </ul>	<ul style="list-style-type: none"> <li>• Effective litigation support</li> <li>• Reduced operational costs</li> </ul>
Early Case Assessment & Investigation	Applying advanced analytics to determine the merits of a case prior to ediscovery	<ul style="list-style-type: none"> <li>• Identification of relevant custodians and associated data sources</li> <li>• Query-based analysis</li> <li>• Preservation of chain of custody and authenticity</li> </ul>	<ul style="list-style-type: none"> <li>• Effective litigation support</li> <li>• Reduced operational costs</li> </ul>
eDiscovery	Discovery, review and production of information to support legal discovery process	<ul style="list-style-type: none"> <li>• Predict and assess discovery costs</li> <li>• Direct access to electronic media</li> <li>• Support early case assessment</li> </ul>	<ul style="list-style-type: none"> <li>• Compliance</li> <li>• Reduced litigation exposure</li> <li>• Reduced operational costs</li> </ul>

## Delivering Value From Strategic Roadmap To End-to-End Integration

Creating an ECCRM strategy for a financial services organization requires thoughtful evaluation to properly map the firm's needs and compliance requirements with the functionality of the solution. Paragon applies best practices to develop a custom-tailored roadmap for delivery of an efficient and long term solution, with a recommended path for implementation that considers risk, cost and transition.



## Benefits of Paragon's ECCRM Solutions

Implementation of Paragon's ECCRM solutions have enabled firms to:

- ▶ Avoid fines and censure from regulators
- ▶ Decrease operational costs
- ▶ Gain operational efficiencies (reduce backup time, improve recovery)
- ▶ Avoid negative exposure and its impacts on organization reputation and stock price
- ▶ Reduce costs in litigation preparedness
- ▶ Develop a longer-term convergence strategy with Records Management
- ▶ Establish a proactive strategy through alignment of compliance, legal and risk management
- ▶ Increase efficiency of ediscovery and surveillance operations

## About Paragon

Paragon Solutions, a division of Paragon Computer Professionals, is a management and technology consulting firm that specializes in enterprise information management to help clients leverage information assets for better business results. The company does this through its vertical practices and specialized technology service lines that help clients optimize their operations for maximum return on investment.

Paragon's financial services practice services the needs of the banking, brokerage, asset management, capital markets and insurance sectors. Our technology solutions are helping firms respond and capitalize on industry change driven by competition, consolidation, convergence and regulation.

For more information, please visit the Paragon Web site at [www.consultparagon.com](http://www.consultparagon.com), or call 1.800.462.5582, ext. 3100.

## Paragon Client Roster

Paragon's client roster includes:

- ▶ ADP
- ▶ Allianz
- ▶ Angelo Gordon & Co.
- ▶ BCBS of North Carolina
- ▶ Blue Cross of Idaho
- ▶ Blue Healthcare Bank
- ▶ BNY Mellon
- ▶ Citigroup
- ▶ Consec
- ▶ Credit Suisse
- ▶ Deutsche Bank
- ▶ IXIS Capital Markets, NA
- ▶ JPMorgan Chase
- ▶ Lazard
- ▶ Lincoln Financial
- ▶ Merrill Lynch
- ▶ Nasdaq
- ▶ PartnerRe
- ▶ RenaissanceRe
- ▶ Standard & Poor's



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