

CASE STUDY:

Anchor Pointe Wealth Management

Data compliance and communications archiving are critical for all industries, particularly in the financial services field. Anchor Pointe Wealth Management is an independent, fee-only financial planner located in Cape Girardeau, Missouri, that provides comprehensive plans to help clients grow, organize, and protect their assets throughout life's ups and downs.

Anchor Pointe Wealth Management prides itself on its big-picture focus when it comes to finances — offering services beyond investments such as retirement, insurance, legacy, education, and debt-management planning. The firm combines data, expertise, and technology to build effective financial strategies, and part of that equation is employing Zix as a service provider to manage its scope of archiving and compliance needs.

J. Derieck Hodges, CERTIFIED FINANCIAL PLANNER™ for Anchor Pointe Wealth Management, has more than two decades of experience in the financial services industry and knows the importance of staying abreast of constantly shifting regulations put forth by the Federal Communications Commission, the Financial Industry Regulatory Authority, and the U.S. Securities and Exchange Commission.

"The reason I'm doing this is because it helps me sleep better," Hodges says about his dedication to compliance and his relationship with Zix. "If an auditor comes in, I can show them with confidence that I've got all my emails archived, I've got my LinkedIn posts archived, my website archived, I use an encrypted email, and we have a secure portal. We're also doing cybersecurity testing."

Comprehensive Archiving on Multiple Platforms

On any given day, Hodges accesses his Zix platform to locate old emails, review archived data and run compliance reports as part of his continuous oversight efforts. The unmatched search capabilities with ZixArchive ended up being an unforeseen extra perk to the email encryption and archiving needs that Hodges originally signed up for.

"I went into this purely from a compliance standpoint, but it feels good to know that it has served ease-of-business."

"We want to be accommodating to clients, and we also want to present clients with new options that maybe they haven't even thought of. From an archiving standpoint, I don't have to worry because I know Zix can help me with that."

J. DERIECK HODGES

*CFP® for Anchor Pointe
Wealth Management*



When Hodges started his own registered investment advisor (RIA) firm in 2015, he was looking for an adequate bundled package: encrypted email and archiving to satisfy all possible regulatory requirements. He chose Erado, which was acquired by Zix in April 2018, to flesh out its suite of services. Originally, Anchor Pointe Wealth Management leaned on Erado for email encryption and archiving of the company's Microsoft Outlook account. Since then, it has added archiving services for text messaging, LinkedIn, Twitter, and Facebook.

Every communication channel, running smoothly and compliantly with Zix.

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The Many Benefits of Zix

More than 21,000 customers use Zix to ease email compliance, including the SEC, nearly one-third of U.S. banks, and more than 1,200 U.S. hospitals. ZixArchive enables cloud email archiving with quick access to retained emails, simplifying compliance and e-discovery for your business.

With Erado's capabilities folded into Zix's product offering, customers get an innovative product that meets the highest industry standards for securing archived data. Just as important, Zix is committed to providing unparalleled customer service — and like Anchor Pointe Wealth Management, Zix is dedicated to making a lasting, positive impact in their clients' lives.

"When people talk about why they work with our firm, trust is a big thing. They realize that I'm serious about security and I'm trying to do a good job of protecting them."

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CFP® for Anchor Pointe Wealth Management

Benefits

- Patented technology and proprietary software
- Unlimited archive to meet evolving communications needs
- Collect and store as many emails as needed for as long as needed
- Manage policies and wildcarding to define what emails are retained
- Maintain control of data by easily enabling and disabling privileges. Once audits and legal holds are complete, easily revoke access.
- Simple search allows you to identify the right emails and set precise parameters with advanced capabilities.



ABOUT ERADO

Now part of Zix

Erado offers unified information archiving solutions across more than 50 communication channels including email, social media, instant message, mobile, web, apps, audio and video. With more than 20 years of experience and more than 18,000 customers, Erado unified information archiving solutions help businesses comply with SEC, FINRA, FCA, and state and international regulations. It also provides supervisory, eDiscovery and reporting capabilities to save time and provide peace of mind. In addition, businesses across industries can ease the litigation process by using Erado's unified information archiving solutions to enable cloud access, create efficiencies in the review and production process and reduce costs.

SSAE 16 certified, Erado offers a cloud-based approach, and its solutions' features include integration with hosted and on-premises systems, elastic search parameters, message level classification and activity history, and flexible reporting and random sampling.

For more information, visit www.erado.com or call 866.673.7236.