

Key takeaways from the

2019 Electronic Communications Compliance Survey Report

FINRA and SEC firms need to retain, supervise and produce electronic communications to meet their oversight obligations.

Data volume, variety & velocity is rapidly growing



1.7MB of data
will be created every second for
every person on earth by 2020

To compete and grow, compliance teams

are under pressure to find solutions to

capture, retain and monitor electronic

communications data, as well as adapt

written policy guidelines.

Twitter

Email



employees are sending more than

200 Slack messages per week with power users sending more than

1,000 per day



55 minutes per day on their smartphones

The volume of digital exhaust is overwhelming Managing risk is complicated by conversations constantly shifting

from one channel to the next.



40%

50%

60%

70%

80%

90%

100%

10%

Top three perceived

sources of risk

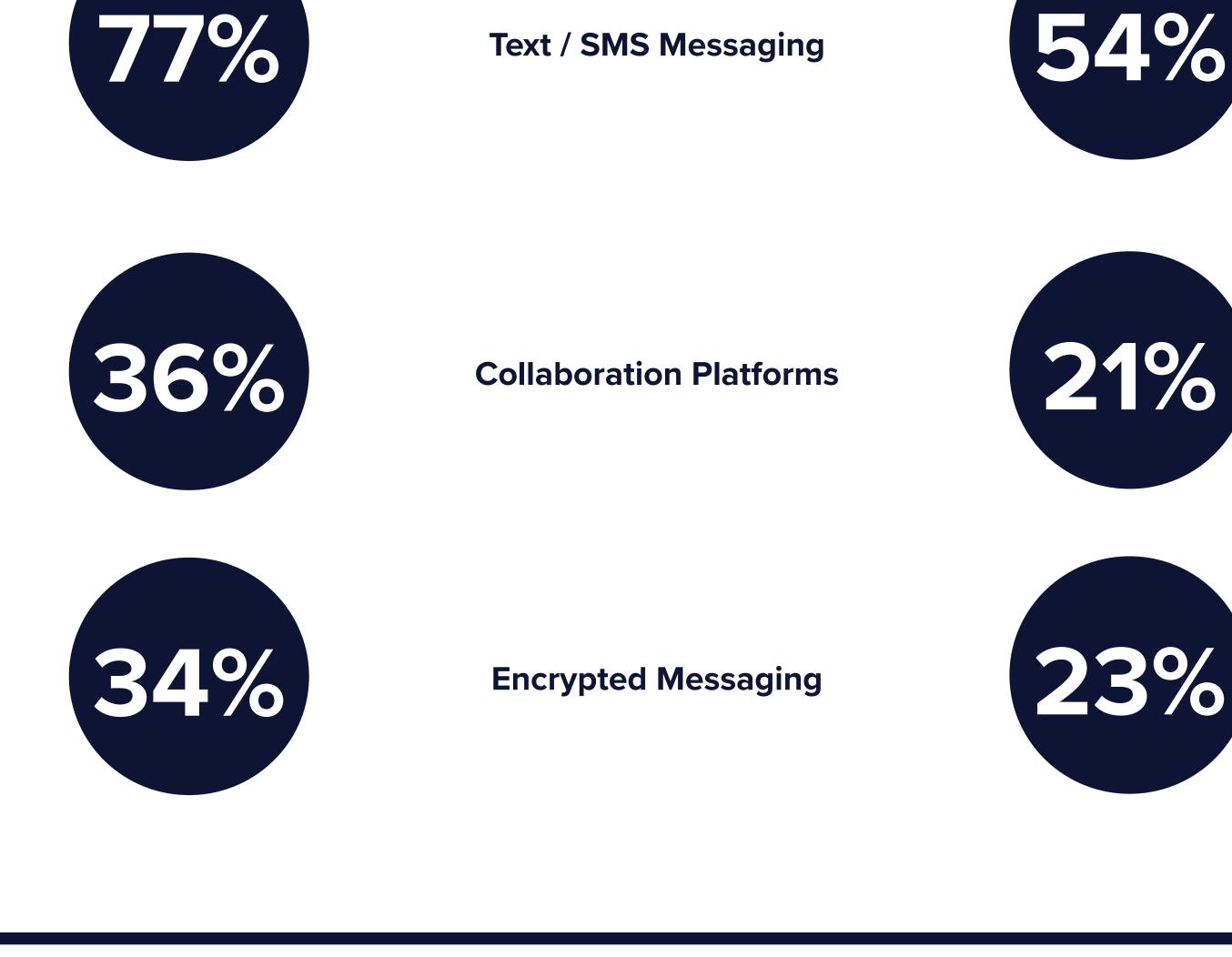
20%

30%

0%

Top three prohibited channels

requested by employees



Compliance has other concerns...

Compliance teams have too few supervision resources

Organizations also need to be able to support the latest mobility

trends, whether they be BYOD, employer-provided devices,

or a mixture of both, with the ability to capture a range of modalities

(email, text messaging, and collaboration applications).



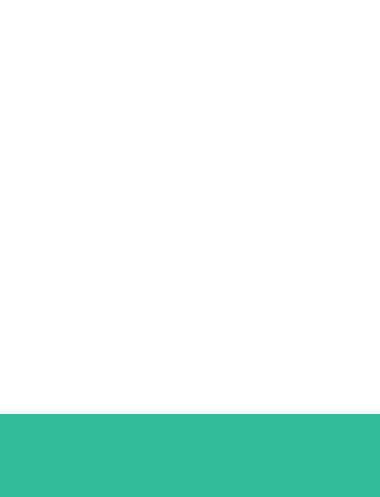
54%

understanding new and

changing regulations for

supervision practices

across different types of



The archive is helping

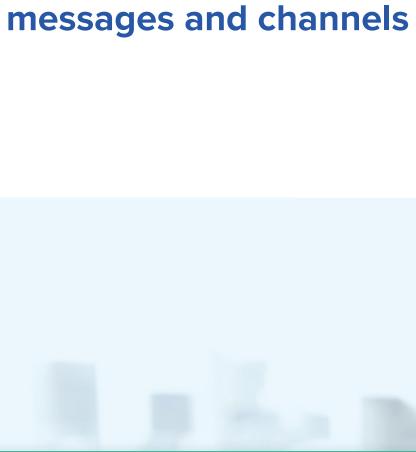
compliance move from a

cost center to a value driver.

fine-tuning supervision

processes to find

real risk





complexity introduced

by new regulations or

market dynamics

Follow the lead of regulators

and leverage technology

to improve compliance

and insights

Empower the mobile workforce while limiting the restrictions on message and collaboration applications on mobile devices

Achieve officient oversight across all channels with

Embrace new and dynamic communication channels

Six critical capabilities of an archiving and supervision technology system

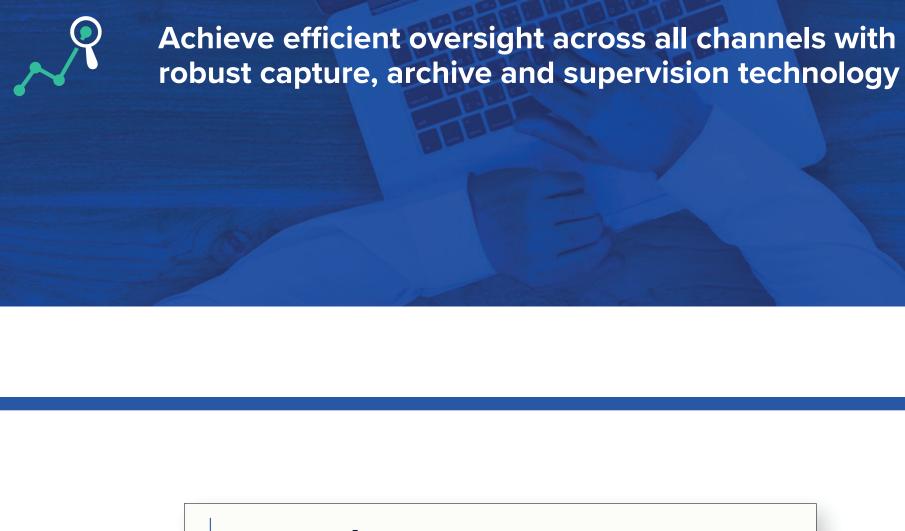
Single platform for automated direct capture, ingestion,

range of communications channels (text, email, IM, social

indexing, supervision and rapid retrieval across widest

Messages indexed in native format with metadata (e.g.,

not converted into another content type, such as email)



4 Robust text message archival

5 Voice records archival

6 Examination/e-discovery assistance

media, etc.)

Search speed



Archived data can efficiently strengthen compliance, recordkeeping, and e-discovery initiatives. With cross-functional collaboration, the right technology and technology partners, and

sound policies and procedures, you can help your firm stay ahead of the regulatory environment and grow its business.

Get the full report:

https://www.smarsh.com/2019-e

1

2

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https://www.smarsh.com/2019-electronic-communications-compliance-survey

communications. Smarsh has established the industry standard for the ecient review and production of content from diverse range of channels that organizations now use to communicate. With innovative capture, archiving and monitoring solutions that extend across the industry's widest breadth of channels, customers can leverage the productivity benefits of email, social media, mobile/text messaging, instant messaging/collaboration, websites and voicewhile eciently strengthening their compliance and e-discovery initiatives.

For more information, visit www.smarsh.com.

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Smarsh helps financial services organizations get ahead – and stay ahead – of the risk within their electronic





2019

