



Customer Profile

As a leading broker-dealer serving the credit union industry, CUNA Brokerage Services offers investment, insurance, and retirement planning services to individual credit union members across the U.S.

CUNA Brokerage Services determined that it had to find an efficient and innovative archiving solution and vendor to help them keep pace with emerging technologies, and meet the demands of an ever-changing regulatory landscape.



CUNA Brokerage Services Chooses Smarsh

Smarsh Stands Out

After evaluating several archiving vendors in the marketplace, CUNA Brokerage Services chose Smarsh based on the user-friendly interface of the Professional Archive, cost-competitiveness, and the company's reputation as a leading provider of excellent performance and customer service.

"Choosing the right archiving partner was really important to us," says Melissa Haberstich, Surveillance and Reporting Compliance Manager at CUNA Brokerage Services, "because even with an archiving solution in place, it's still ultimately our responsibility to make sure we're doing the right things to achieve compliance."

Easy Implementation

The company was pleased how quickly it was able to get up and running with Smarsh, taking just three months from decision to implementation.

"I was really impressed with the whole implementation process, particularly how smoothly our older emails were ingested into the new system," says Tim Halevan, Chief Compliance Officer at CUNA Brokerage Services.

After only one or two brief training sessions, the company's compliance managers and reviewers felt comfortable using the Smarsh platform.

"For the most part we were able to learn a lot on our own because the Smarsh interface is so intuitive," says Haberstich. "It's very easy to search for and find exactly what we need."

“ We needed a partner who could meet all our current and future archiving needs, as well as give us excellent service and support... Smarsh very quickly rose to the top of that list. ”

Melissa Haberstich
Surveillance and Reporting Compliance Manager,
CUNA Brokerage Services



Greater Efficiency in Archiving Experience

The Smarsh Professional Archive automates the indexing, policy checking, and retention of content — including social media — in a search-ready state, which enables CUNA Brokerage Services employees to concentrate on other activities.

“Although we were able to capture what we needed using our old platform, using Smarsh is so much more efficient,” says Haberstich. “Our reviewers can do their jobs better now because they know the system will deliver exactly what it needs to deliver, when we need it delivered.”

Faster Issue Resolution

The Smarsh account team provides CUNA Brokerage Services with prompt responses to any questions or issues that arise. Whether it is something simple that can be resolved immediately or a topic that requires further research, the company appreciates being kept fully up-to-date and is comforted knowing their concerns will be resolved quickly.

“Issues have been few and far between since we began using Smarsh,” says Halevan. “The timeliness and quick resolution of any minor issues we’ve encountered is exactly what I expect and need from a partner.”

Readiness for the Road Ahead

The team at CUNA Brokerage Services foresees working with Smarsh will continue to benefit the company down the road.

“Part of the allure of partnering with Smarsh is that its roadmap for the future meshes with our corporate vision,” says Halevan. “As we grow our online presence, we know Smarsh is a partner who can continue to help us archive and supervise all new and different types of social media.”

“ Our reputation is crucial because our credit union partners want to engage with a broker-dealer that has proper controls in place so they can feel reassured that CUNA Brokerage Services is meeting the requirements we need to help serve their members. ”

“ Smarsh is in front of what will be next. We don’t know what the next social media channel is going to be, but we’re confident that Smarsh has its finger on the pulse of the industry, and will be able to fulfill a need for us tomorrow that may not even exist today. ”

Tim Halevan
Chief Compliance Officer,
CUNA Brokerage Services



Smarsh® is the recognized global leader in electronic communications archiving solutions for regulated organizations. The Smarsh Connected Suite provides innovative capture, archiving, e-discovery, and supervision solutions across the industry's widest breadth of communication channels.

Scalable for organizations of all sizes, the Smarsh platform provides customers with compliance built on confidence. It enables them to strategically future-proof as new communication channels are adopted, and to realize more insight and value from the data in their archive. Customers strengthen their compliance and e-discovery initiatives, and benefit from the productive use of email, social media, mobile/text messaging, instant messaging and collaboration, web, and voice channels.

Smarsh serves a global client base that spans the top banks in North America and Europe, along with leading brokerage firms, insurers, and registered investment advisors. Smarsh also enables federal and state government agencies to meet their public records and e-discovery requirements. For more information, visit www.smarsh.com.