



“We were looking for a company with a great reputation and a breadth of adoption. Smarsh was listed by far more people than any other vendor, and the people who were using it had good things to say. That made it fairly easy to decide on a provider.”

Walter Wilson
Executive VP of Operations
Lucien, Stirling, & Gray Financial Corporation

The Challenge

Upgrade to a more robust email archiving system to meet SEC requirements, which include:

- Email retention and ongoing supervision of communications between advisors and clients
- Periodic review of email communications
- Accessing and producing email records, when needed for regulatory purposes

Solution

Email archiving through the Smarsh Professional Archive.

Results & Benefits

“When FINRA calls to say they want emails for certain dates, Smarsh produces the information for us. We no longer have to scrounge through files or rely on data backups.”

- Queries can be run to quickly and easily find communications between advisors and clients during a specific timeframe
- Supervisors can perform keyword searches on an ad-hoc basis
- Entire conversations can be reconstructed for review
- Cloud-based archiving means not having to depend on the physical integrity of a building, or worrying about natural disasters or other emergency events that could destroy data

Customer Profile

Lucien, Stirling & Gray is an independent, fee-only Registered Investment Advisor with Certified Financial Planners that specialize in financial planning and asset management.

On Smarsh

“ I like the depth and availability of Smarsh service and support. It’s prompt, and issues get solved without having to drive around the forest trying to figure out the problem. I know somebody’s got a handle on it. That’s what it’s about! ”



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.