Make communications compliance effective & easy

FOR WEALTH MANAGEMENT FIRMS

In today's hybrid world, firms use a variety of communication technologies to interact with clients. Navigating new regulations from the SEC and FINRA while driving efficiency is more important than ever. The right archiving solution is paramount to success.

Wealth Management firms must adapt to succeed

**KEY AREAS NEEDED** TO ENSURE YOUR **ARCHIVE CAN DELIVER:** 

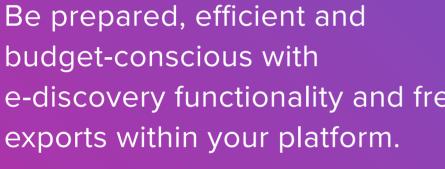
78% of firms expect greater regulatory oversight

47% of firms expect compliance staff costs to increase



## **Native content capture** of all channels

Stay efficient by seeing all communications from text to social in their original format – not just flattened to an email file.



Simple data exports

e-discovery functionality and free





## use case Ensure your solution is

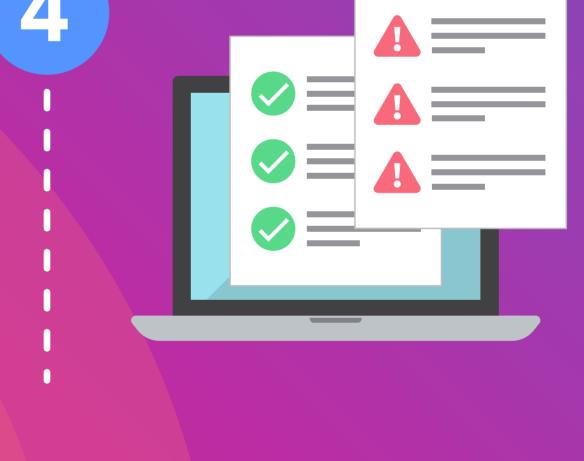
**Addresses FSI** 

purpose-built for 17a-4 compliance and new rules. Not all compliance platforms will suffice.

## supervision easy Save time and streamline workflows with purpose-built

Software that makes

features that spot violations, enable efficient search, and are included in the platform.

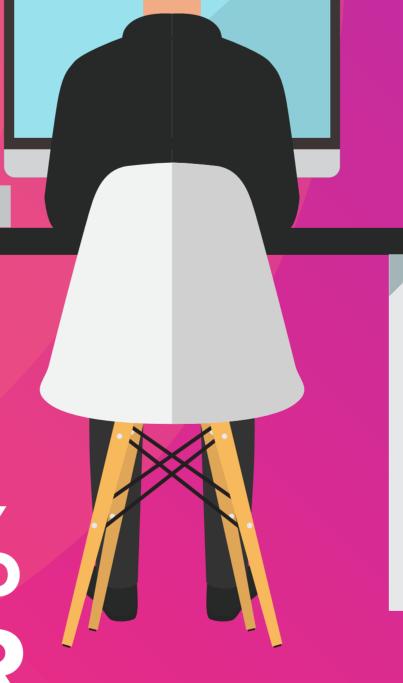




Spot • violations

of your review time with

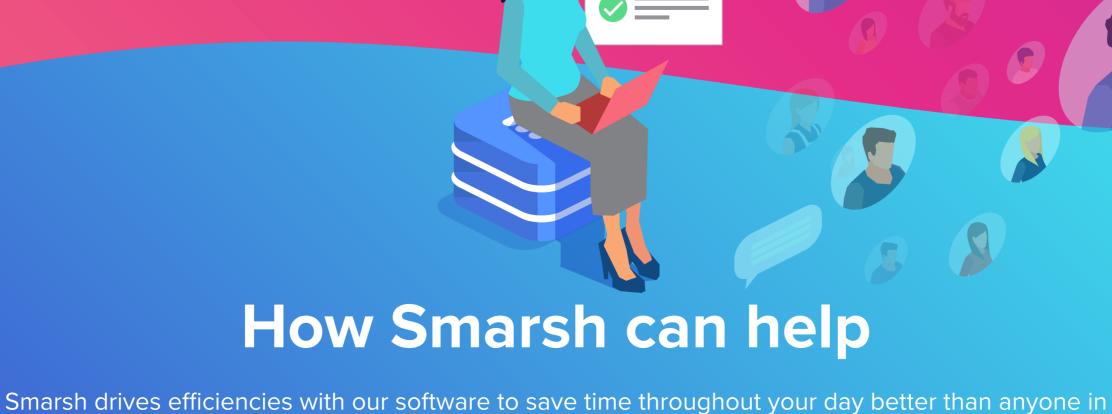
a search filter pane





violations by providing guidance to users with a chat bot





the industry. We include archiving, supervision and e-discovery functionality in our platform that helps you save time on reviews, quickly spot violations, and make case management easy. Get more time back in your day and peace of mind that comes with solid compliance processes and procedures.

vendor that handles more of your regulatory needs.

**DISCOVER HOW** 

Contact us to make compliance a snap, with a single