

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


78%

of firms expect greater regulatory oversight


47%

of firms expect compliance staff costs to increase

KEY AREAS NEEDED TO ENSURE YOUR ARCHIVE CAN DELIVER:



1

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.

2

Simple data exports

Be prepared, efficient and budget-conscious with e-discovery functionality and free exports within your platform.



3

Addresses FSI use case

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



4

Software that makes supervision easy

Save time and streamline workflows with purpose-built features that spot violations, enable efficient search, and are included in the platform.



Streamline workflows and save up to

25%

of your review time with a search filter pane



Reduce management

TIME

and potential for human error that could cause compliance violations by providing guidance to users with a chat bot



Spot violations up to

20% FASTER

Make a queue based on prohibitive networks with keywords, then use the keyword highlighting feature to identify violations.



How Smarsh can help

Smarsh drives efficiencies with our software to save time throughout your day better than anyone in 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.

Contact us to make compliance a snap, with a single vendor that handles more of your regulatory needs.

[DISCOVER HOW](#)