



# Professional Archive

Compliance made easy with a comprehensive platform

## The Challenge

With recent developments such as the Marketing Rule, compliance professionals are tasked with demonstrating reasonable supervision to regulators. This is driving RIA and broker-dealer compliance professionals to seek out new ways to be more effective and efficient in managing their communications archive with the same or fewer resources.

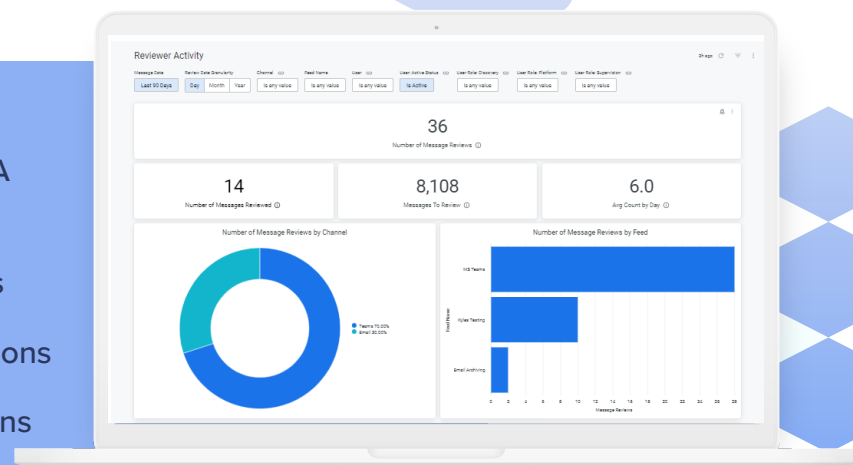
## The Solution

The Smarsh Professional Archive empowers your teams with a simple, effective compliance and e-discovery solution. With native capture of multiple channels and intuitive reporting dashboards in a single pane of glass solution, you can review and search all of your electronic communications data in one place. The Professional Archive provides you with confidence in your ability to access and analyze data at any time.

As communications evolve, your archive should too. The Professional Archive continually adds support for new channels, allowing you to scale at the speed of business.

## Key Use Cases

- ✓ Meet compliance obligations, including FINRA and SEC requirements
- ✓ Retain and access electronic communications
- ✓ Supervise and review electronic communications
- ✓ Conduct e-discovery and internal investigations
- ✓ Obtain business insights from archived data





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## The Professional Archive makes compliance easy.

Inclusive of capture, archive, supervision and discovery for all communications.



### Key Capture Benefits

- Capture multiple communication channels in a single solution
- Understand full conversational context with native capture and message threading



### Key Archive Benefits

- Access data on-demand with intuitive reporting dashboards, advanced search options, a simple UI and unlimited 'Do-It-Yourself' exports
- Secure data in AWS storage, with unmatched performance, scalability and security
- Support employee access to their communications via the Smarsh Personal Archive



### Key Supervision Benefits

- Reduce risk by using a robust policy engine and a library of industry-leading template policies
- Increase efficiency by leveraging purpose-built reporting dashboards
- Stay prepared with audit trails to track all message and platform actions



### Key Discovery Benefits

- Reduce the time and cost of e-discovery with powerful search and case management tools
- Make informed decisions with valuable review and tagging features
- Protect your business with unlimited legal holds