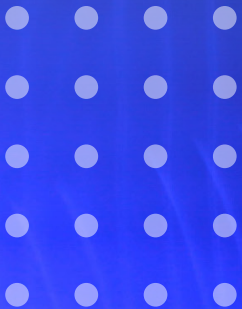


Are you getting the most out of The Smarsh Professional Archive?

**5 need-to-know tips & features
for greater efficiency**



The Smarsh Professional Archive is designed to save firms time and resources on communication archiving, monitoring, and data management responsibilities. However, just like with any technology, the returns can sometimes vary depending on how familiar you are with certain features and capabilities. We asked our Smarsh product management team, builders of the Professional Archive, to compile a no-frills guide of their favorite tips and features that can benefit nearly any firm.

Check out our **new visual eBook** to see what they came up with: our top 5 feature highlights to help Smarsh customers get more of The Professional Archive.

What's inside?

1. How to **automate your supervision review** processes with queues
2. How to **reduce false positives** by eliminating redundant emails
3. How to facilitate a **frictionless regulatory audit** by using 'cases'
4. How to **track data usage** and **business trends** with reporting
5. How to **streamline reviews** and **pinpoint risks** more quickly with AI



1 Automate review workflows by using queues

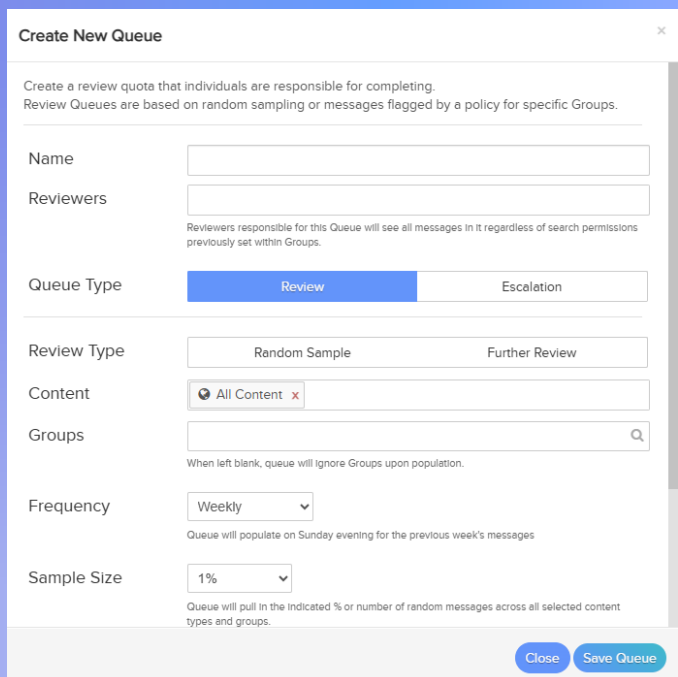
Feature highlight: Queues

Availability: Available to all Professional Archive users

What it does: Supervision review queues are collections of messages that are automatically populated for review based on the criteria you define. Queues can help automate your review workflows for monitoring employee communications for potential misconduct and compliance violations, a regulatory requirement for many financial firms.

How it works:

- Upon clicking message queues in the homepage of Professional Archive, you will see queue name(s), a last updated timestamp, and other details.
- You can also see how many messages have populated within a queue.
- From here, you can: mark them as reviewed, mark as a violation, add tags, add a message to a case, assign the message to reviewers, and/or add notes to the message.



The screenshot shows the 'Create New Queue' form in Smarsh Central. The form includes the following fields and options:

- Name:** A text input field.
- Reviewers:** A text input field. Below it, a note states: 'Reviewers responsible for this Queue will see all messages in it regardless of search permissions previously set within Groups.'
- Queue Type:** Two radio buttons: 'Review' (selected) and 'Escalation'.
- Review Type:** Two radio buttons: 'Random Sample' (selected) and 'Further Review'.
- Content:** A dropdown menu with 'All Content' selected and a red 'x' icon to clear the selection.
- Groups:** A search input field with a magnifying glass icon. Below it, a note states: 'When left blank, queue will ignore Groups upon population.'
- Frequency:** A dropdown menu with 'Weekly' selected. Below it, a note states: 'Queue will populate on Sunday evening for the previous week's messages.'
- Sample Size:** A dropdown menu with '1%' selected. Below it, a note states: 'Queue will pull in the indicated % or number of random messages across all selected content types and groups.'

At the bottom right of the form are two buttons: 'Close' and 'Save Queue'.

How to use it: If you are creating a queue from scratch, follow the [steps in Smarsh Central](#) to create one. The linked page includes a helpful how-to video. You can Smarsh Support for assistance if needed.

Need help navigating The Professional Archive?

You have options.

Self-service

1. **Smarsh University** is your one-stop shop for on-demand, virtual learning. Within Smarsh University, check out the Professional Archive 'Quick Tip Series' for short videos that guide you through enabling and using select features.
2. **Smarsh Central** is our online knowledge repository with technical product documentation, frequently asked questions, and more. Within Smarsh Central, you can find a [page with links to Professional Archive](#) product documentation, trainings, certifications, and help articles.

Guided expert support

3. Want help from an expert? **Smarsh Support** is available.



2 Achieve fewer redundant emails in review queues

Feature highlight: Email echo cancellation for Microsoft Outlook (with support for Gmail coming soon).

Availability: Available to all Professional Archive users with a Gold and Platinum package (i.e. subscription tier). This feature is automatically included but must be enabled by a user or with help from Smarsh Support. See more below.

What it does: This feature removes email “echoes” so that you don’t have to review the same email messages repeatedly. During real world client testing, echo cancellation minimized the number of redundant email messages in queues by more than 20 percent.

How it works:

- Without echo cancellation, when an email message triggers a supervision policy match, the email gets added to your Professional Archive queue for further review...
- As recipients reply or forward the original email, the additional emails, or echoes, are also sent to your queue...
- The process of reviewing the subsequent email echoes is redundant because only the original email triggered the policy match.
- Echo cancellation uses an algorithm that analyzes conditions of an alert to make intelligent decisions about false positives, so that you can stay focused on detecting real potential risk.

The screenshot shows the 'Edit Policy' interface for an 'Echo' policy. The left sidebar contains navigation links: Policy Settings, Search Criteria, Search Criteria Summary, Matched Message Actions, and Advanced Settings. The 'Advanced Settings' section is active, showing a 'Policy List' and a 'Save Policy' button. Below these, it states 'Last modified by Brian Test on Jan 16, 2025 10:35am PT' and a 'View Policy History' link. The main content area has a blue header with 'Edit Policy' and 'Echo' tabs, and a top bar with 'Help', 'Export', 'Delete Policy', and user icons. The 'Assign To' section has a dropdown menu. The 'Cases' section has a dropdown menu. The 'Message Points' section has two input fields: 'Add 0 points to message for first incident' and 'Add 0 points to message for each additional incident'. The 'Echo Cancellation' section is highlighted with a red border. It contains a description: 'Echo Cancellation identifies email threads and assesses whether the content is new. Redundant content is set to a status of "Auto-Review" and given the "Echo" tag. This feature prevents "echo" tagged messages from entering supervision queues.' Below the description are three radio buttons: 'Off' (with a note 'This policy isn't considered for Echo Cancellation'), 'Enabled' (selected, with a note 'This policy and the messages it matches may be eligible to become Echo'd content'), and 'Prevent Echo' (with a note 'If this policy is matched, the message will not become an "Echo"'). At the bottom, there is a 'Short Circuit' section with a lightning bolt icon and a dashed line.

How to use it: If your company is on the Gold or Platinum tier for Professional Archive, you can enable echo cancellation in the ‘edit policy’ section (see screenshot below). There are a few additional clicks required to match echo cancellation to the supervision policies you choose. You can also open a case with [Smarsh Support](#) for guided assistance, talk to your Smarsh rep about changing your Professional Archive tier, or check out the [echo cancellation quick tips video](#).

Respond to audits quickly with ‘cases’

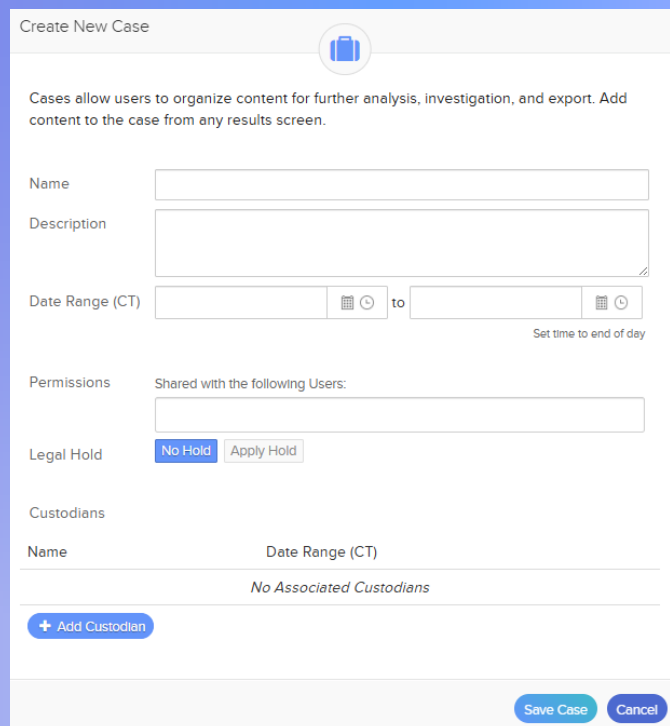
Feature highlight: Cases

Availability: Available to all Professional Archive users with access to Discovery

What it does: Adding message content to a case will organize it for future reference. Cases allow you to gather, review, and edit a group of messages that are needed for an audit or investigation. Effective case management can help you stay prepared.

How it works:

- The case management feature provides you with access to an intuitive dashboard, the ability to create a legal hold, which preserves specific data for potential litigation or other reasons.
- Messages in cases can be reviewed or removed if no longer needed.
- Once created, the content in a case can be exported in a variety of formats.
- The Discovery module with Professional Archive provides you with everything you need to manage your cases.



The screenshot shows the 'Create New Case' form. At the top, there's a title bar with a briefcase icon. Below it, a text box explains that cases allow users to organize content for further analysis, investigation, and export. The form includes several input fields: 'Name', 'Description', and 'Date Range (CT)' with a calendar icon and a 'to' field. There are also 'Permissions' and 'Legal Hold' sections. The 'Legal Hold' section has 'No Hold' and 'Apply Hold' buttons. Below that is a 'Custodians' section with a table header for 'Name' and 'Date Range (CT)', and a button to '+ Add Custodian'. At the bottom right, there are 'Save Case' and 'Cancel' buttons.

Create New Case

Cases allow users to organize content for further analysis, investigation, and export. Add content to the case from any results screen.

Name

Description

Date Range (CT) to

Set time to end of day

Permissions

Shared with the following Users:

Legal Hold

No Hold Apply Hold

Custodians

Name	Date Range (CT)
No Associated Custodians	

+ Add Custodian

Save Case Cancel

How to use it: There are multiple ways to add content to a case, depending on preference and your own compliance workflows.

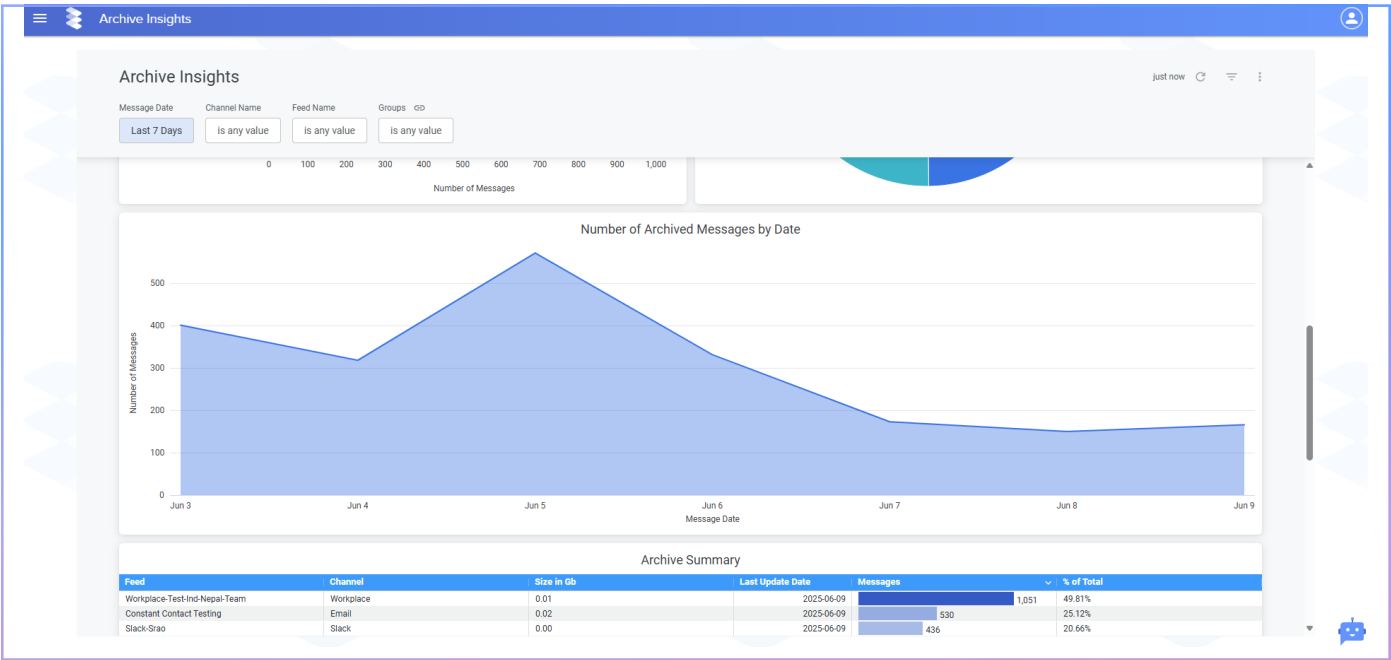
For a deeper look at the case management tool, watch the [case filtering and review video](#) in Smarsh Central and/or check out the [case management user guide](#). Contact your Smarsh rep if your company doesn't have access to the Discovery module in Professional Archive.

4 Get insights from your archived data with reporting

Feature highlight: Reports

Availability: Available to all Professional Archive users (note: access to specific reports may vary based on subscription tier or add-ons)

What it does: The Professional Archive platform includes a variety of reports to provide you with statistics and other valuable insights about the content of your archive. Reports are divided into three main categories: admin reports, policy reports, and supervision reports. See below.



How it works:

- Insights will vary based on report type.
- You can fine-tune many reports based on needs and preferences using filters such as date range, channel name, feed name, and more.
- Export reports in a variety of formats.
- Schedule reports to automatically run at a pre-defined frequency and send them to a list of recipients to automate information sharing.
- Explore advanced options, alerting, and additional filters to customize further.

How to use it: To get better acquainted with reporting, you can explore [this page in Smarsh Central](#) or contact [Smarsh Support](#).





Streamline reviews and surface risks more quickly with AI

Feature highlight: Smarsh AI Assistant

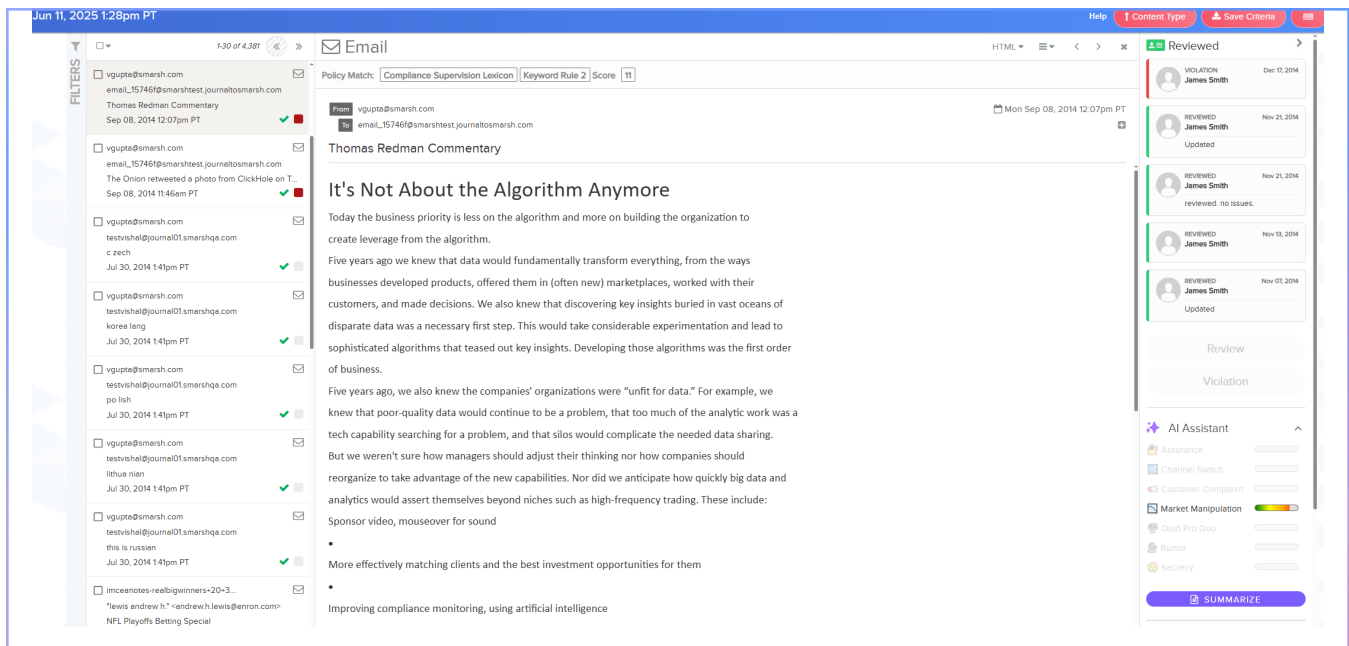
Availability: Available as an add-on for The Professional Archive later in 2025

What it does: The Smarsh AI Assistant acts as an always-available compliance assistant. Some key features include: the ability to summarize lengthy communication content, intelligently highlighting potential risk, translating content on-demand, and transcribing audio/voice content to text on-demand.

How it works:

Smarsh AI Assistant expedites the review of message content populated in The Professional Archive's supervision review queue or when using the search function.

- **Summarize:** AI Assistant leverages Smarsh's Scenario Catalog of behavioral classifications to help reviewers swiftly arrive at a decision on whether a message represents a genuine risk or if it's a false positive. The Scenario Catalog is AI-powered and continually updated to surface suspicious behaviors (e.g. market manipulation, secrecy, and more), rather than match static rules, to more accurately surface potential misconduct. You'll be able to see a summarized version of the original message, along with the highlighted text which corresponds to AI Assistant's risk findings.
- **Translate:** Activate on-demand translation services in more than 100 languages, utilizing specialized transcription models that have been developed in-house, alongside proven translation tools from AWS. Transcribe voice content to text just as easily.
- **Act:** After determining the relevance and importance of the message, reviewers can take appropriate action. Mark it as reviewed or escalate it, all within The Professional Archive.



Rendering. Actual UI will slightly vary.

How to use it: Smarsh AI Assistant is coming soon (later in 2025)! Talk to your sales rep for more information or check out an [overview video](#).



Smarsh® enables companies to transform oversight into foresight by surfacing business-critical signals from the most in-demand communications channels. Regulated agencies of all sizes rely upon the Smarsh portfolio of cloud-native digital communications capture, retention and oversight solutions to help them identify regulatory and reputational risks within their communications data before those risks become fines or headlines.

Smarsh serves a global client base spanning the top banks in North America, Europe and Asia, along with leading brokerage firms, insurers, and registered investment advisors and U.S. state and local government agencies. To discover more about the future of communications capture, archiving and oversight, visit www.smarsh.com

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