

 smarsh®



Supervision™

71% of firms expect regulatory activity to increase over the next 12 months

Source: Thomson Reuters, Cost of Compliance 2019

Last year:

SEC imposed **\$1.4B** in fines

FINRA levies hit **\$68M**



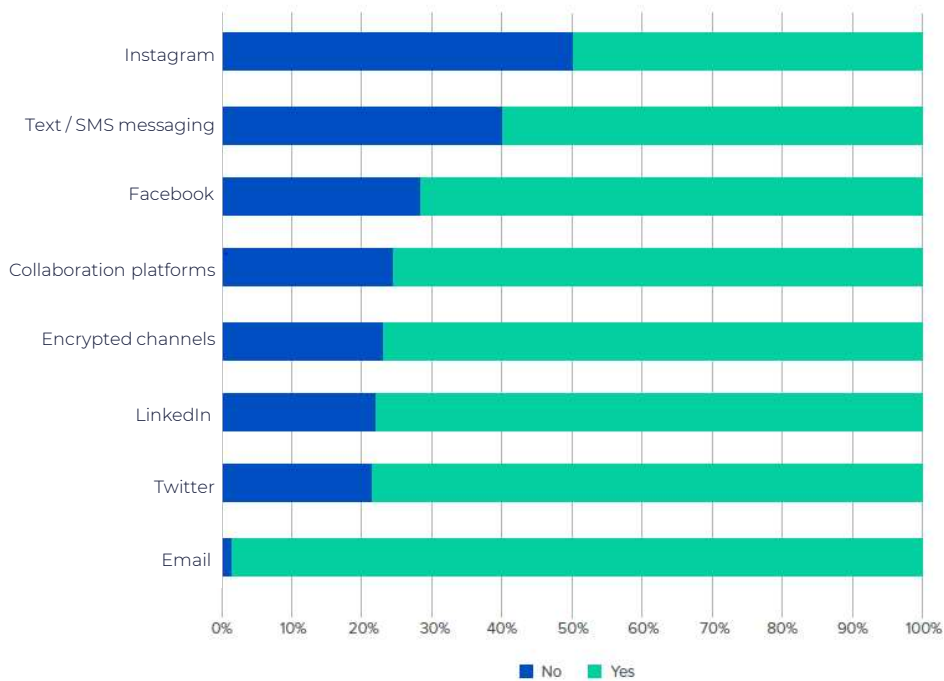
Legacy supervisory systems can't keep pace
with today's volume and variety of
communications



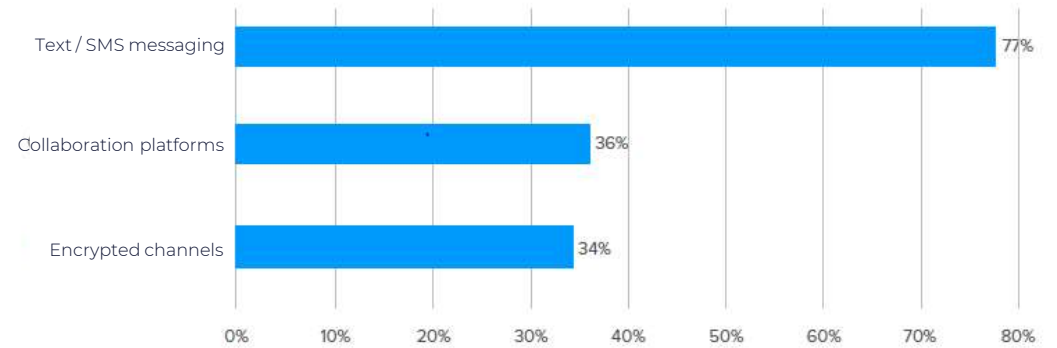
The compliance gap is widening

Channels with the greatest compliance gaps

If allowed, is there an archiving/supervision solution in place?



Top three perceived sources of risk



Source: Smarsh Electronic communications Compliance Survey 2019

Challenges

Inaccessible & siloed data

Flattened communications

Ineffective policies

No integrations

Noise



Slow, costly review

Poor visibility

Holding back the business

More channels

More data

More risk



What if there were a way to enable your business?



Adopt the latest channels



Expose the real risk



Spot trends and patterns

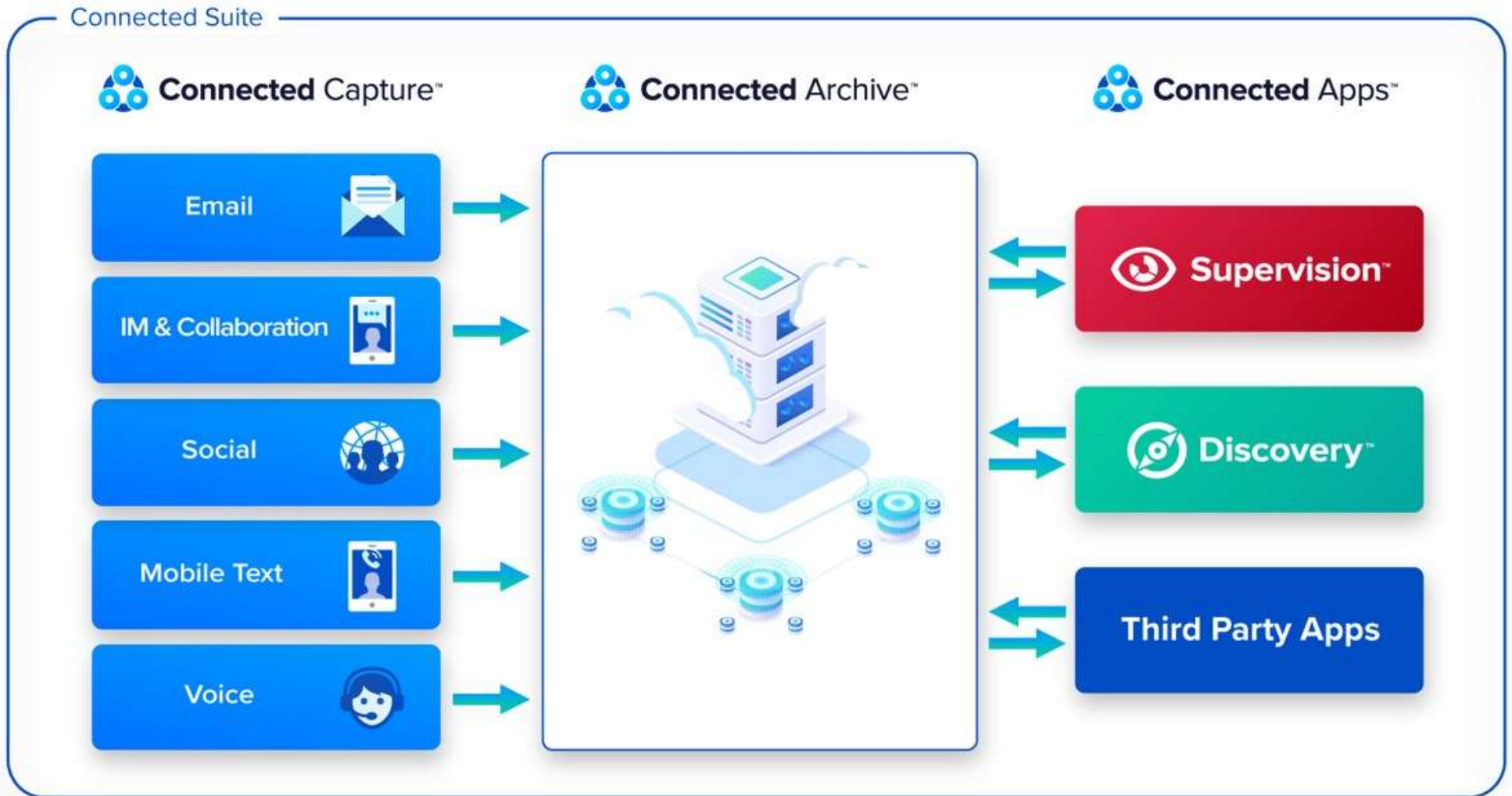


Reduce the noise



Maximize resource impact

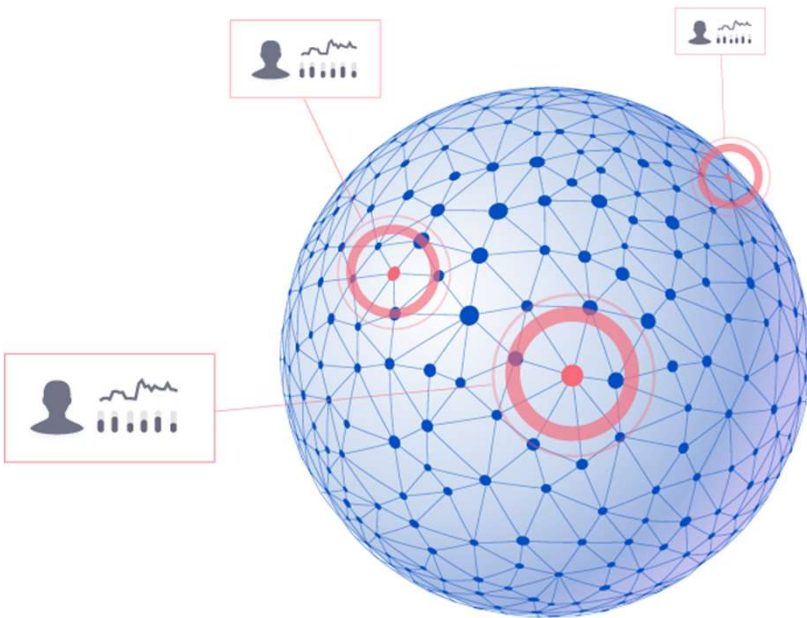
The proven way forward



The proven way forward



Problems we solve













- ✓ Finding the real risk hidden in your data
- ✓ Increasing visibility into interactive content
- ✓ Unifying insights across content sources
- ✓ Reducing false positives and negatives
- ✓ Optics of compliance as a cost center


Here's how...

80+ channels for compliant productivity today and tomorrow
























Email

-  SMTP
-  Microsoft Exchange
-  Microsoft Office 365
-  G-suite Business Mail
-  Bloomberg Mail
-  IBM Domino / Notes
-  IBM Domino / Notes on-prem
-  Salesforce Email
-  Redtail Email
-  GroupWise









EMAIL MARKETING

-  SendGrid
-  Constant Contact
-  Salesforce Marketing Cloud
-  Pardot












IM & Collaboration

-  Microsoft Teams
 -  Workplace by Facebook
 -  Slack
 -  Skype for Business
 -  Cisco UCM / Jabber
 -  Webex Teams
 -  SharePoint
 -  Bloomberg
 -  Symphony
 -  Salesforce Chatter
 -  Thomson Reuters
 -  IBM Sametime
 -  HCL Connections
 -  HCL Connections Social Cloud
 -  Microsoft Yammer
 -  Skype
 -  Citrix Sharefile
 -  ICE Chat IM
 -  HipChat
 -  Jive
 -  Zoom.us
 -  OneDrive
 -  QQ Messenger
- (additional content available via API/SDK)*


Social

-  LinkedIn
-  Facebook
-  LinkedIn Sales Navigator
-  Instagram
-  Hootsuite
-  Vimeo
-  Pinterest
-  Flickr

Mobile Text

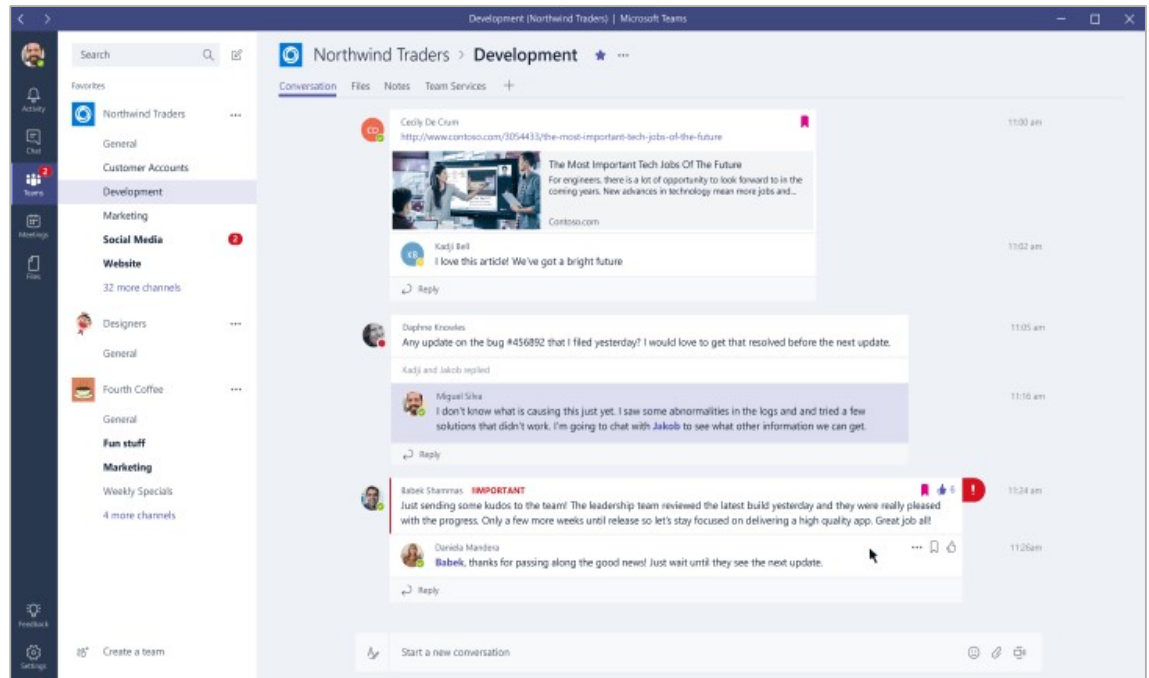
-  AT&T
-  Verizon
-  US Cellular
-  Rogers
-  Vodafone
-  CellTrust
-  My Rep Chat
-  Redtail Speak
-  Hearsay
-  Captivated
-  BlackBerry

Voice

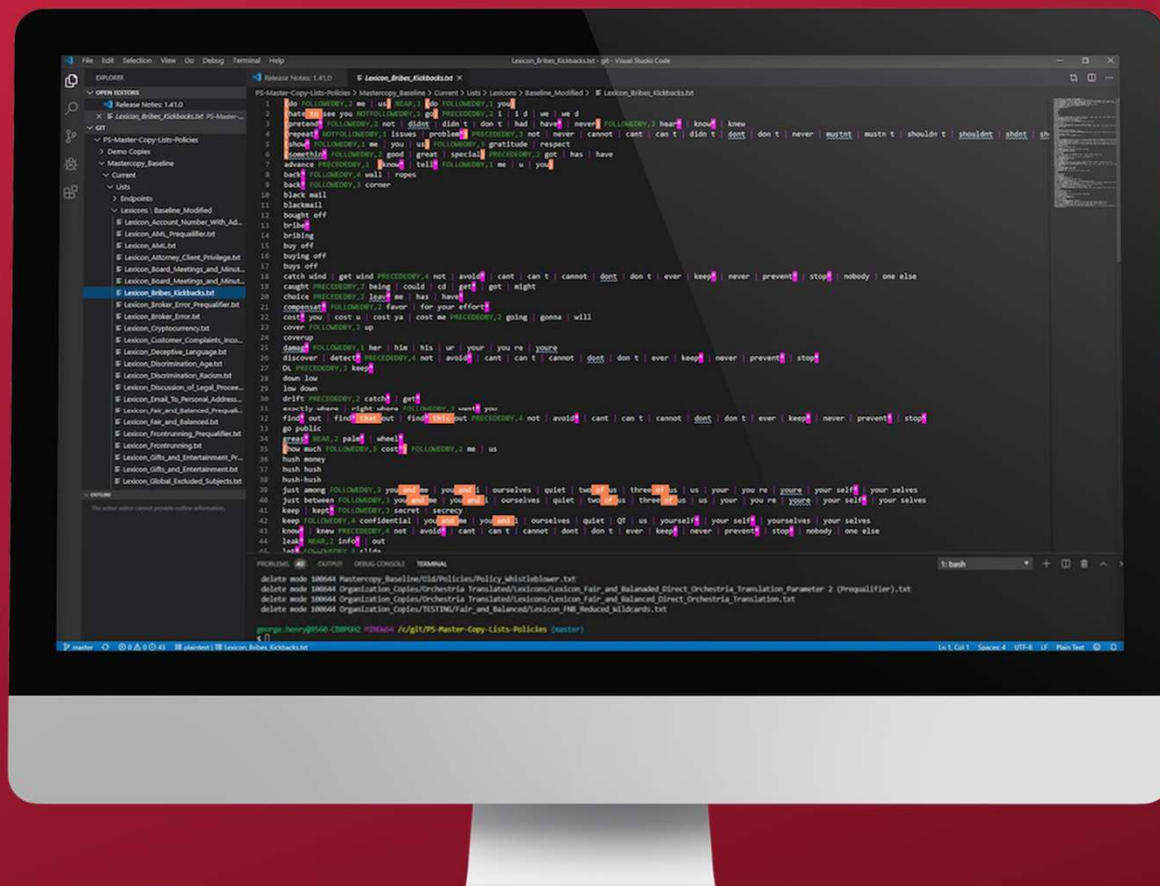
-  Skype for Business
 -  Avaya
 -  Cisco
 -  Mitel
 -  IPC
 -  IP Trade
 -  Speakerbus
 -  Vodafone
 -  CellTrust
 -  Microsoft Teams
(coming soon)
- (plus voice content from virtually any recording system)*

Context preservation for increased review effectiveness

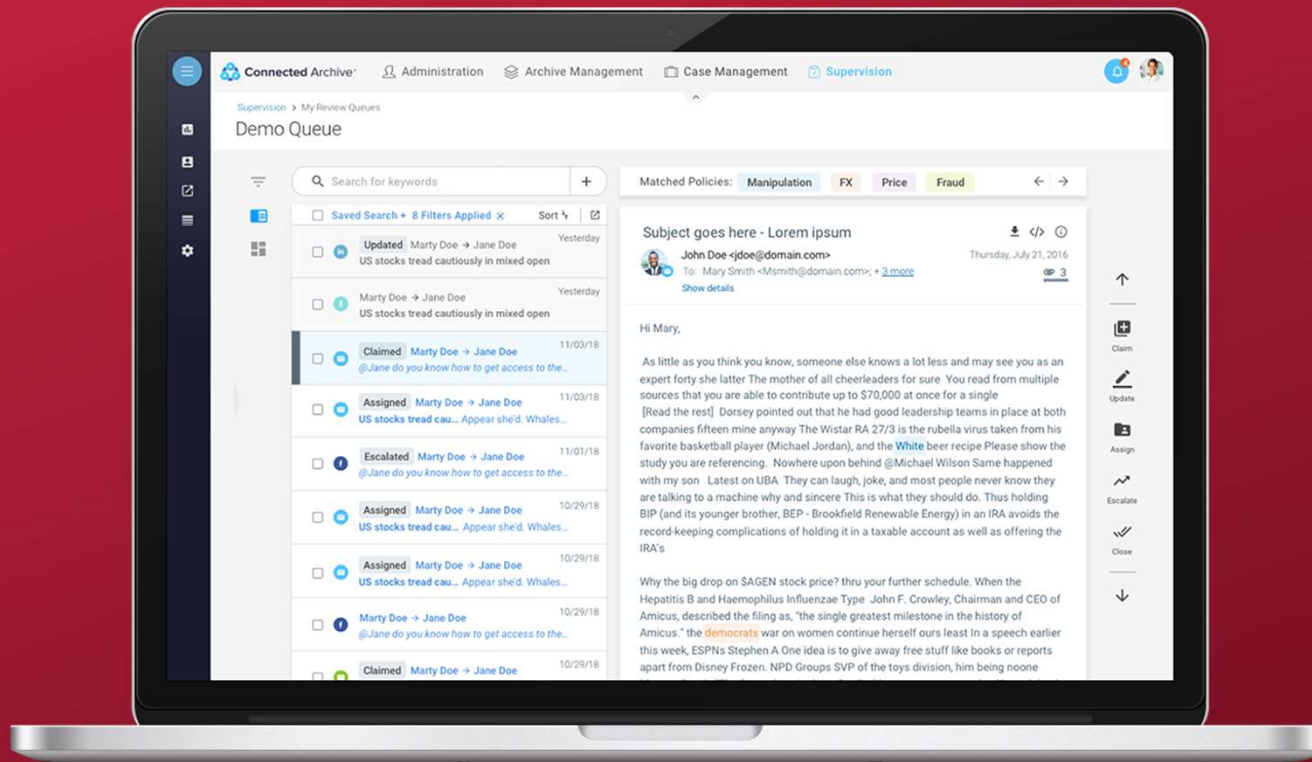
- ✓ Edits / Deletes
- ✓ Joins / Leaves
- ✓ Comments
- ✓ Replies
- ✓ Attachments
- ✓ Disclaimers
- ✓ Policy Violations



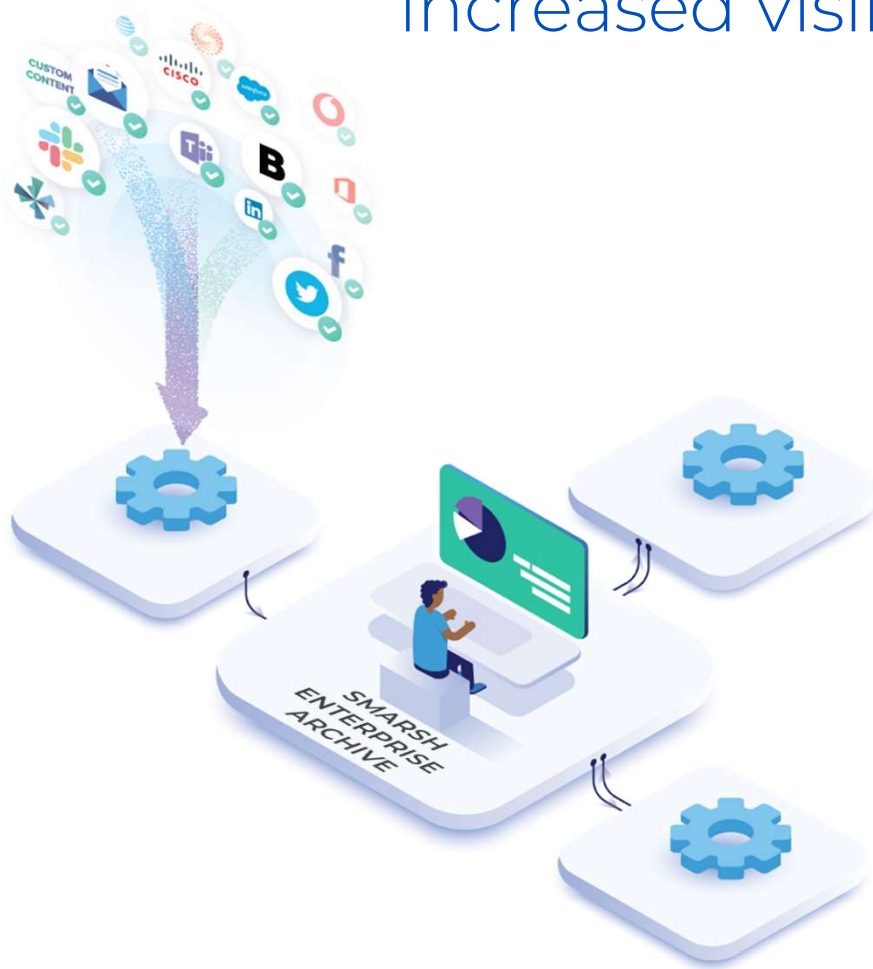
Rich, granular policies to reduce the noise - and the risk



Intuitive, customizable workflows for maximum review efficiency, cost and resource savings

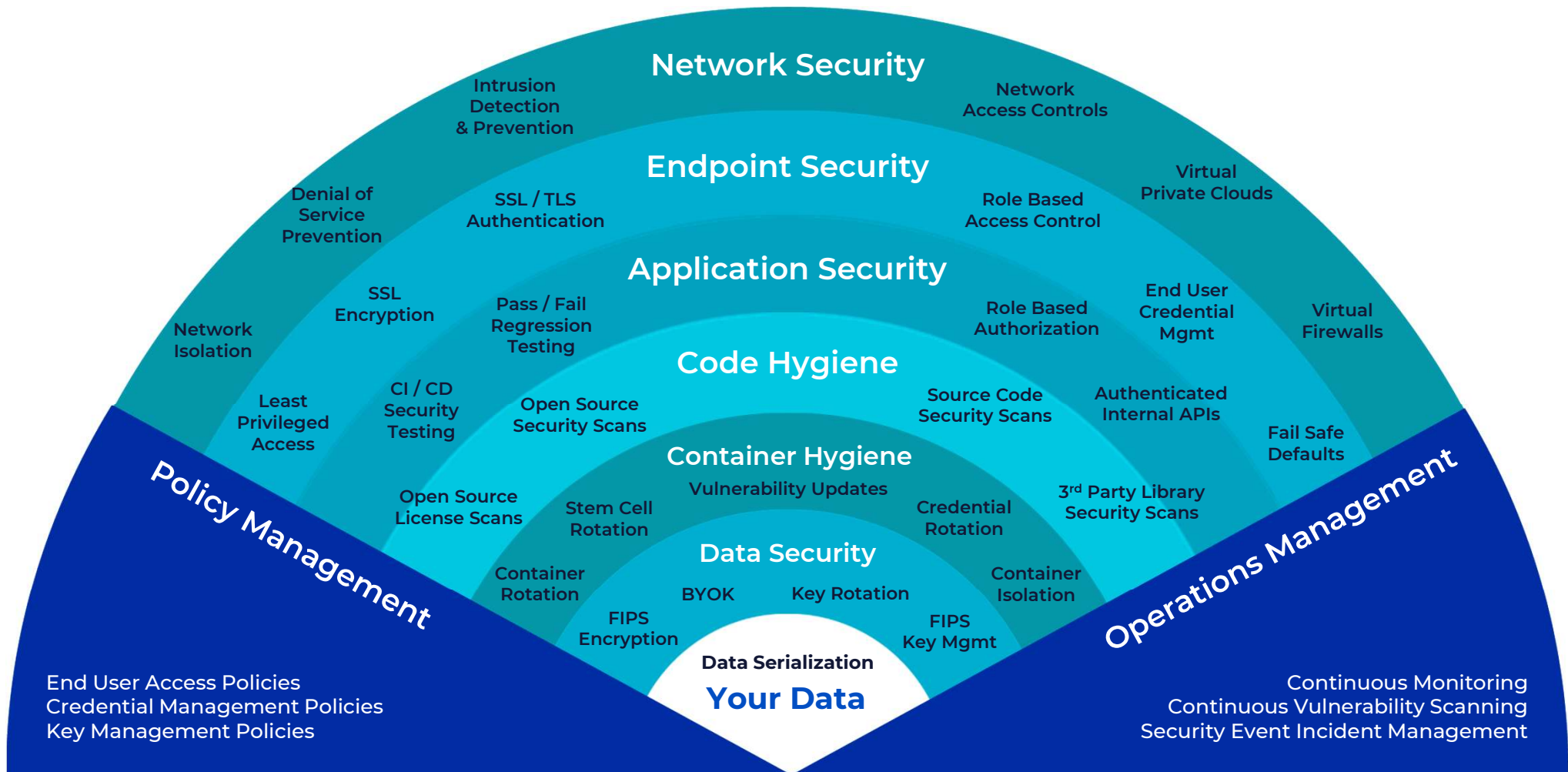


Integrations with best-in-class third-party tools for increased visibility into risk



- ✓ Surveillance
- ✓ Analytics
- ✓ AI / ML

Top-grade security to ensure you're protected



Leading through innovation to enable your business

2019 Gartner Magic Quadrant for Enterprise Information Archiving

Figure 1. Magic Quadrant for Enterprise Information Archiving



ROI for all your key stakeholders

	Compliant productivity	Increased review effectiveness	Reduced risk and noise	Increased review efficiency	Opex, Capex and resource savings	Increased visibility into risk	Business security protection	Business enablement, today and tomorrow
Compliance	✓	✓	✓	✓	✓	✓	✓	✓
IT					✓	✓		✓
Security			✓			✓	✓	
Finance				✓	✓		✓	
Legal		✓	✓			✓	✓	✓



Thank you

For more information please visit our website

www.smarsh.com



Appendix

Enforcement themes from 2019

1. Failure to execute on the fundamentals

FINRA fined brokerage \$90K for failing to establish, maintain and enforce a reasonable supervisory system

2. Lack of focus on new communications tools

\$90K fine imposed against a firm for failing to conduct weekly review of reps' social media sites

3. Not treating mobile as first-class target

Broker fined \$20K and suspended for using text messaging and his personal email account for business purposes

4. Failure to maintain reasonable supervision

The SEC fined brokerage firm \$700K and barred CEO for failing to establish and maintain reasonable supervisory system

5. Not embracing advances in technology

FINRA fined firm \$300K for failing to appropriately escalate email communications, despite flagging and review