



CUSTOMER STORY

Ameritas Stays Ahead of Change with Smarsh





The Challenge: Keeping up with change

Ameritas has experienced many changes in the past 20 years: evolving communication trends, shifting internal roles and teams, and a growing tech stack to connect its 2,600 employees and serve its more than 6.2 million customers.¹

Among the few things that haven't changed is the firm's duty to meet its books and records obligations. That means retaining every single business communication and performing systematic supervision — whether that communication was sent or received in email, text, social media, encrypted mobile messaging app, instant messaging, video calls or generated by AI tools.

"[Smarsh] made us more nimble in the fact that we can provide solutions to the field that help them become more operationally efficient. It really comes down to allowing us to be easy to do business with, because Smarsh provides us with that opportunity."

Ann Dohmen

**Lead Practice Management
Consultant, Ameritas**

The Solution: A partner that meets change head-on

Ameritas has trusted Smarsh for its archiving needs since 2010. What started as an email capture and archive solution has grown to meet Ameritas's evolving needs.

Ann Dohmen first joined Ameritas in 1997 as a registered representative and is now the firm's Lead Practice Management Consultant — a role that directly oversees and manages Smarsh for the back office. When she took on the role, Ameritas was using Smarsh for email archiving and supervision.

"I actually had the misconception that we did archiving ourselves, which sounds just horrific considering the amount and volume of emails a person has to review from a supervision perspective," says Dohmen. "I think that right there explains the benefit that Smarsh has provided to Ameritas."

Seeing the value Smarsh brought to email archiving and supervision, Dohmen expanded Smarsh to other communication channels.

¹ Ameritas 2024 Annual Report



“I’ve seen the channels that Smarsh manages go from just a handful to a long, two-page list,” says Dohmen. One of the first projects Dohmen worked on in her current role was ensuring the capture and [archive of Microsoft Teams](#) messages.

“I laugh about it now, because Ameritas didn’t want registered reps and licensed individuals using this tool, because we weren’t archiving Microsoft Teams to Smarsh at that time. When I moved into the role, I helped get the company prepared to archive all our Microsoft Teams messages.”

Ameritas went through this process several times to give licensed and registered advisers more tools to compliantly communicate with and engage clients, including Slack, X (formerly Twitter), texting through MyRepChat, and more. Enabling MyRepChat text was an especially significant step forward since Smarsh captured and archived text messages natively.

As Smarsh becomes increasingly embedded in Ameritas back-office operations, compliance and supervision processes get smoother and more efficient. Implementing [Smarsh Professional Archive](#) gave Ameritas a powerful and comprehensive archive platform that enabled the firm to manage its compliance processes in a single place.

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“When we migrated to the [Professional Archive], there was the evolution of [review] queues,” says Dohmen. “That was something new for our back office, and that was a huge win for them. We’re very poised to be in a place where we are not feeling like we’re behind in any capacity. We’re always current and staying ahead of everything.”

Streamline supervision and reviews with Professional Archive:

- 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

The Future: Continue to evolve

Dohmen and her team understand that staying nimble and agile means preparing for an uncertain regulatory future.

“We are looking at some AI solutions that our field would be using to communicate and collaborate with each other for client meetings,” says Dohmen.

“We’re wanting that to be a direct API over to Smarsh, so we don’t have to worry from a books and records perspective even though I realize that the regulatory bodies have not made one official declaration on note-taking AI solutions — what is required to be stored and what is not. We’re taking the more conservative approach to make sure we’re covered on a regulatory and compliance perspective rather than a ‘wait and see’ perspective.”

For over two decades, Smarsh has been the leading innovator in the compliance technology field by being the first provider to offer cloud-native archiving solutions, mobile capture, and now AI-powered compliance. We help our customers meet books and records obligations across the channels they use most to conduct business. But just as important, we create opportunities for our customers to use emerging technologies — and stay ahead of change.

Advice to others

“I don’t feel that we have any sort of concerns when it comes to an audit from a regulatory perspective, because we know those records are easily accessible,” says Dohmen. “So, I would easily say at this point that there’s no reason why you wouldn’t want to consider using Smarsh, because they have proven time and time again to be exactly what we needed.”



Smarsh enables companies to transform oversight into foresight by surfacing business-critical signals in more than 100 digital communications channels. Regulated organizations 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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