

# PFG

## PFG Technology Team Has Time To Innovate Thanks To Smarsh

### The Challenge

As Director of Technology for both PFG and Vicus Capital, Ron Lutz strives to do everything possible to continuously improve the efficiency and effectiveness of both organizations. With just three people working in Compliance, it's crucial that PFG and Vicus utilize a reliable, modern, and automated electronic communications retention and oversight solution with capabilities designed to streamline the workload. Ultimately, it's Lutz's responsibility to select and deploy an archiving solution that can free up time for both Compliance and the Technology team, enabling stakeholders to focus on new ways to innovate and support the evolving needs of the business in a rapidly changing market.

### Smarsh Solution

The Smarsh Professional Archive delivers peace of mind. Lutz knows that all inbound and outbound emails are reliably archived directly from the source and are readily available. Specialized search and supervision workflows enable PFG and Vicus to dramatically improve the speed and effectiveness of their email review efforts. Should a legal need for archived content arise, Lutz's team can leverage robust e-discovery capabilities allowing them to find the exact information they need, when they need it, in mere seconds. Lutz and his team also appreciate the ability to seamlessly add support for the additional communication channels that their employees want to use, within the same archive — a system they already know and trust for email compliance.

### The Outcome

The reliability and automated design of the Smarsh Professional Archive, combined with responsive and knowledgeable customer support, has freed up significant resources for Lutz and his team. The time and effort necessary to monitor electronic communications have been optimized and reduced to the point where Lutz's team now has available bandwidth to focus on more proactive efforts to help the business scale and grow.

“Smarsh has given us peace of mind, valuable time, strategic vision, and the ability to focus on innovation.”

### Customer Profile

Founded in 1960, PFG is a national financial services company with over 150 associates, including financial planners, insurance experts, and CPAs. Vicus Capital is the Federally Registered Investment Advisor (RIA) affiliate of PFG. Vicus offers investment management services and financial planning to clients, including but not limited to: individuals, businesses, trusts, not-for-profit organizations, and employee benefit plan sponsors.

“Smarsh helps us to stay ahead.”



“Thanks to Smarsh, I’m no longer just the mechanic fixing a broken computer. Now I can add more strategic business value with time to see what our competition is doing, how we can be better than them, and where we can improve.”

Ron Lutz  
IT Director, PFG

## About PFG

Since 1960, PFG has evolved into a powerful national financial services company with over 150 associates, including financial planners, insurance experts, and CPAs. From a corporate headquarters located in State College, Pennsylvania, its experienced staff provides extensive support services to PFG’s network of independent professionals.

[www.pfginc.com](http://www.pfginc.com)

As IT director for both producer group PFG and its RIA affiliate Vicus Capital, Ron Lutz and his team manage more than 250 email accounts across 26 domains. SEC and FINRA email compliance is an important responsibility for his team, and thanks to Smarsh, oversight and regulatory reporting is seamless and effective across the entire business.

“Having Smarsh for archiving gives me confidence,” Lutz said. “The primary issue with our previous providers was a lack of meaningful customer support. When you’re being audited, that’s not what you want to encounter. With Smarsh, when I pick up the phone, I know I’m going to get someone who can answer my questions quickly — it doesn’t take days to get a response,” Lutz added.

Inefficient support with previous providers was too often chewing up valuable time. “Innovation is one of our key corporate values and it’s only since we became a Smarsh client that we’ve had the time to focus on it, versus having to spend an inordinate amount of time on the supervision process and keeping previous email archiving solutions up and running. Getting quality support from Smarsh and knowing they’ll take care of issues quickly allows us to do other things, such as looking into new technology options and other forms of automation.”

But it’s not just quality support that appeals to Lutz. When describing his overall experience using Professional Archive, Lutz had nothing but praise, citing its ease of use and intuitive interfaces.

## Simplifying Search & Review

Lutz and his team are realizing valuable time savings within the application. “The speed at which I can put in a query and get results is pretty impressive — it searches across millions of emails, in seconds. I’m also impressed by the volume of messages processed.”

“It’s very easy to use and you can be as granular as you choose to be. There are many specialized search features, and I’ve never had a situation where I couldn’t get the answer to the question I was looking for.”

“The bottom line is we highly recommend Smarsh,” Lutz concluded.



Smarsh® is the recognized global leader in electronic communications archiving solutions for regulated organizations. The Smarsh Connected Suite provides innovative capture, archiving, e-discovery, and supervision solutions across the industry's widest breadth of communication channels.

Scalable for organizations of all sizes, the Smarsh platform provides customers with compliance built on confidence. It enables them to strategically future-proof as new communication channels are adopted, and to realize more insight and value from the data in their archive. Customers strengthen their compliance and e-discovery initiatives, and benefit from the productive use of email, social media, mobile/text messaging, instant messaging and collaboration, web, and voice channels.

Smarsh serves a global client base that spans the top banks in North America and Europe, along with leading brokerage firms, insurers, and registered investment advisors. Smarsh also enables federal and state government agencies to meet their public records and e-discovery requirements. For more information, visit [www.smarsh.com](http://www.smarsh.com).