



Compliance Brief: SEC Rule 17

The U.S. Securities and Exchange Commission (SEC) Rules 17a-3, 17a-4, and 17ad-7 were implemented under the Securities Exchange Act of 1934 which outlines data retention and accessibility standards for the securities industry. These rules and regulations impact financial services companies who deal with trade, brokering, or stocks, and require broker-dealers and transfer agents who store records, paper or electronic, to comply with precise regulations. Get your records under compliance and avoid potentially millions in fines with *ECMNOW!*



EFFICIENCY*NOW!*

- Leverage our patented artificial intelligence (AI) engine to intelligently recognize, sort, and retain your records to ensure efficiency and regulatory compliance.
- Search across multiple fields to quickly pinpoint the information you need to simplify the audit process.
- Utilize instant access to documents and effortlessly cross-reference between line-of-business (LOB) applications to unify multiple systems.



CONTROL*NOW!*

- Manage your regulatory compliance and reduce the risk of human-errors by incorporating rules-based Robotic Process Automation (RPA) to your routine tasks.
- Track different document versions to ensure personal and team accountability using check-in and check-out functions.
- Ensure users have access to only what they need with multiple layers of security, including transmission, system, data, and application security.



MONEY*NOW!*

- Save money and countless workforce hours by automating routine business processes.
- Cut costs by managing information in the cloud and avoid capital investments in hardware, software, and IT resources.
- Preserve all records in a single electronic system to protect your organization from SEC violation fines.

"In fiscal year 2016, the SEC brought a record 548 standalone or independent enforcement actions and obtained judgments and orders totaling more than \$4 billion in disgorgement and penalties exposing financial reporting related misconduct by companies and their executives and misconduct by registrants and gatekeepers."

U.S. Securities and Exchange Commission





How Does ECMNOW! Help With SEC Rule 17 Compliance?

What if you could ensure your organization maintains SEC Rule 17 compliance while also increasing the efficiency of your organization and saving money? ECMNOW! utilizes the latest technologies in order to digitize, manage, store, and route data while maintaining retention and accessibility standards, saving your organization time and money.



Intelligently Manage Data

Are you manually processing records for retention and compliance? ECMNOW! utilizes our patented AI engine, PaperVision® Forms Magic Technology, in order to streamline business processes, eliminating expensive and time-consuming human errors and improving the accuracy and security of your records while also saving your organization money and countless workforce hours.



Quickly Locate Information

Are your records searchable? Rule 17a-4 requires searchable index values and readily retrievable documents. ECMNOW! has powerful search functions that allow you to locate information in seconds. Speed up requests and get control of your data by electronically organizing, controlling, and intelligently routing documents, no matter the location or department.



Easily Maintain Audit Trails

How are you storing your data? Rule 17ad-7 includes expectations for how data must be stored and requires the validation of quality and accuracy of both the storage system and process. PaperVision® Enterprise and ImageSilo can implement audit tracking while preserving data integrity, allowing you greater visibility into version control and user access.



Ensure Compliance

Do you know who has access to your data? Manage and restrict data access with ImageSilo® and PaperVision Enterprise, which has multiple layers of security. Administrators can lock down private data in compliance with SEC Rule 17 and a wide variety of other regulations while intelligently automating document retention and destruction policies to simplify records storage.



Reduce Operating Costs

Are you wasting money on records storage and maintenance costs? SEC Rules 17a-3 and 17a-4 mandate specific electronic records must be indexed and preserved in a location where they cannot be erased or changed, which can be expensive. ECMNOW! accommodates virtually any type of storage media and supplies comprehensive document capture and management capabilities, saving you time and money.



Integrate Seamlessly

Do you work with data in multiple locations or systems? Combine systems to simplify records management with ECMNOW!, which comes with easy to use point-and-click integrations. Make it easy to share information with your other line-of-business applications while improving the efficiency of the whole organization with ECMNOW!.

"ImageSilo has made a phenomenal difference in our compliance. We decreased audit preparation time by 88%, which has made compliance a breeze. Preparing for audit checks takes a few hours instead of three days."

- Fran Eppy, Director of Operations, Eppy Financial Group



THE EPPY GROUP
EXPERIENCE AN *EPIPHANY*

**For a complete product listing and technical information, please visit:
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