



Compliance Brief: SOX

The Sarbanes-Oxley Act (SOX) of 2002 and the Dodd-Frank Wall Street Reform and Consumer Protection Act of 2010 (Dodd-Frank Act) were designed to increase corporate responsibility by regulating the activities of all financial institutions. These laws require publicly-traded companies to manage disclosures and explain how customer data is protected, shared, and secured. Organizations that do not follow the regulations outlined by SOX are subject to penalties including jail time and fines. The good news? *ECMNOW!* makes it easy to comply.



EFFICIENCY **NOW**

- Leverage our patented artificial intelligence (AI) engine to automate document processing to avoid liability caused by manual data entry errors.
- Simplify standard reporting and disclosure methods for compliant practices.
- Quickly get setup to securely share financial reports with stockholders and the U.S. Securities and Exchange Commission (SEC).



CONTROL **NOW**

- Customize access to different files with extensive user controls, so you can decide who can see sensitive documents.
- Improve auditing by maintaining a record of all disclosures, ensuring compliance.
- Ensure your sensitive financial data is securely protected with document encryption during transmission and at rest.



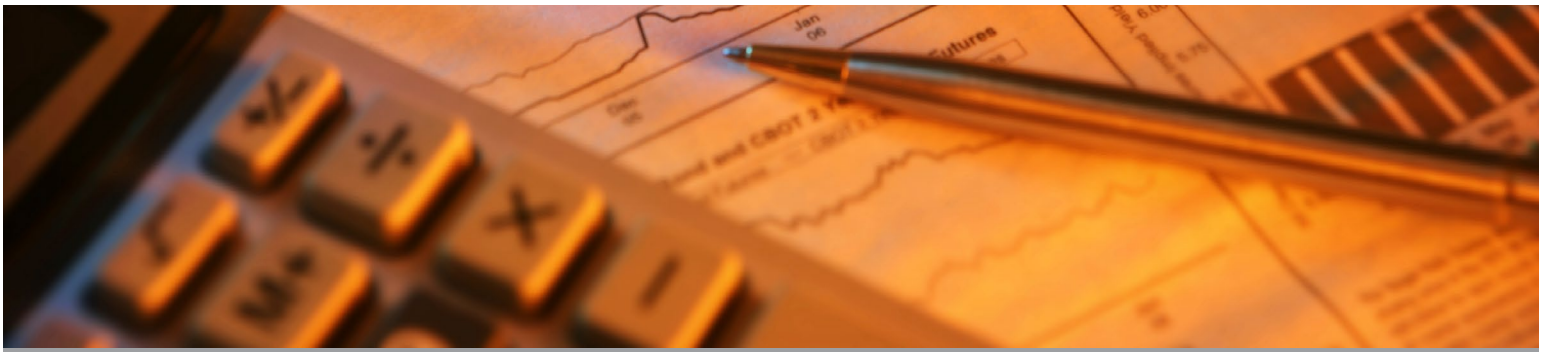
MONEY **NOW**

- Reduce operational expenses by eliminating hardware and IT costs by managing records in the cloud.
- Automate document tracking to ensure audits are accurate, saving the entire organization not only time but money.
- Avoid costly fines through extensive security settings ensuring private information remains private.



"All public companies are required to submit an annual assessment of the effectiveness of their internal financial auditing controls to the SEC. Additionally, each company's external auditors are required to audit and report on the internal control reports of management, in addition to the company's financial statement."

- U.S. Securities and Exchange Commission (SEC)



How Does *ECMNOW!* Help with SOX Compliance?

What if you could ensure all your organization's financial data was in compliance with SOX? With *ECMNOW!* you can comply with SOX regulations, protect sensitive data, and enforce system security standards.



Securely Protect Data

Is your data protected in accordance with SOX regulations? Under SOX, organizations must securely protect, manage, and store financial data. With *ECMNOW!* you can ensure sensitive financial data is safe with extensive security features that keep your data encrypted at all times.



Easily Maintain Audit Trails

Are you in complete control over who accesses your documents? Under SOX, organizations must track all user activity and demonstrate the adequacy and effectiveness of their policies and procedures. With *ECMNOW!* document tracking is automatically applied making audits a breeze while saving you valuable time and money.



Enhance Reporting Processes

Do you have trouble with reporting? Under Section 404 of SOX, companies are required to provide annual disclosures and quarterly updates to shareholders and the SEC. *ECMNOW!* has powerful reporting features that simplify standard reporting procedures, allowing you to streamline the information disclosure process to ensure you stay in compliance.



Save Money by Ensuring Compliance

Thinking about taking your organization public? Under SOX, any publicly traded company must exercise tight control over financial activities or can be subject to fines up to \$5 million or prison terms up to 20 years. *ECMNOW!* provides multiple layers of security, including transmission, system, data, and application security to ensure compliance while saving your organization money.



Protect from Disaster

Is your organization's data safe if disaster struck? Electronically protect files from not only unauthorized access, but also loss, theft, and natural disasters. With *ECMNOW!* you know your files can be protected safely in the cloud, allowing you to recover from any disaster quickly.



Improve Data Accuracy

Are you still processing information by hand? Eliminate hand keying and manual data entry to streamline information processing. With *ECMNOW!* you can leverage our patented artificial intelligence engine to automatically extract key financial data to avoid liability caused by manual data entry errors.

"Thanks to ImageSilo, we have audit trails, recorded disclosures and documented evidence of system activity. It has helped our accounting department simplify our compliance with SOX."

- Major A. Ruth, Accounts Payable Supervisor, The United Illuminating Company



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