



Every day, investors, brokers and audit institutions alike, rely on the fairness and efficiency of the American financial industry. Dedicated to market integrity, the Securities and Exchange Commission (SEC) and the Financial Industry Regulatory Authority (FINRA) work to secure impartiality for investors by overseeing stockbroker activity across the U.S.

Although there is no given solution to becoming SEC/FINRA compliant, financial firms are turning to SmartSearch Document Management to appropriately manage and implement the proper rulings. SmartSearch can transform the compliance process into a major competitive advantage by providing firms with the ability to increase value, streamline workflow and lower costs.

**SmartSearch accommodates all SEC/FINRA regulations by providing the ability to:**

- Automate indexing for quick access to records
- Securely store records in unalterable formats
- Set user-based permissions for viewing records
- Automatically log all actions made to a record
- Burn records to CD or DVD as duplicate Read Only copies
- Set automated document routes to ensure proper email communication

SmartSearch provides financial firms with a comprehensive system that complies with the required privacy and retention regulations of maintaining confidential client documentation.

**SmartSearch Professional Edition**

With support for up to 25 concurrent users, the Professional Edition includes traditional content management features, plus a web client for remote access capabilities. With maximum flexibility in both pricing and configuration, organizations can select only the components they need for their specific business environment.

**SmartSearch Corporate Edition**

Designed for organizations looking to leverage the full spectrum of what SmartSearch has to offer. As a comprehensive solution which includes licensing for disaster recovery and test bench applications, the Corporate Edition delivers a tremendous balance of value and enterprise class functionality.

The SEC and FINRA work to ensure that investors receive the basic protections they deserve. To become a qualified and compliant entity, there are a number of basic requirements to follow.

**SEC/FINRA record maintenance responsibilities include:**

- Easy record location, access, and retrieval
- Legible, true, and complete records
- Separately stored, duplicate copies of an original record
- Safeguarding of records from loss, alteration, or destruction
- Limited access to the records

**Specifically, according to SEC Rule 17-a4:**

- Records of numerous types of transactions must be retained and indexed on indelible media
- These records must be immediately accessible to appropriate personnel for a six month period
- These records must also provide non-immediate access for a period of at least two years

Implementing SmartSearch into a financial institution can transform SEC/FINRA compliance into a major competitive advantage. SmartSearch works with these regulations to help increase information security, expedite audits, reduce document storage costs and streamlines business continuity.

**Automated Capture & Document Workflow**

SmartSearch's capture tools automatically grab record data to help distinguish retention dates, archiving location and access permission rights. With efficient automated indexing, SmartSearch can also help firms to expedite audits by performing searches that find desired documents within seconds. SmartSearch's built-in document workflow module, Work XChange, also allows for stress-free automation of record retention through destruction. Furthermore, workflow provides supervision over records released to email to ensure communications are appropriate under SEC/FINRA ruling.

**Comprehensive Security & Audit Trail**

The advanced security of SmartSearch protects records from unauthorized access, while monitoring user activity of confidential information. SmartSearch helps firms to avoid internal security threats and accidental distribution of private client information. SmartSearch's user-based security controls distinguish who has access to certain files and what functions they can perform. Complete with a robust audit trail/history log, SmartSearch monitors user activity to help financial institutions to supervise record actions for potential misuse.

**Non-Rewritable Formatting & Document Versioning**

SmartSearch takes an agnostic approach to storage by allowing users to save documents in DVD, MOD or CD format, which safeguards the data contained in that media from being altered or edited in any capacity. With SmartSearch, users have the ability to burn stored records onto non-rewritable media in order to achieve the "Write Once" requirement of the SEC/FINRA. This in return, also meets disaster recovery and backup storage requirements.

SmartSearch can store information in an unalterable, non-proprietary format such as TIFF or PDF, while also providing confident document versioning. This enables firms to store multiple, reformed versions of a document, while always maintaining the original copy. Meeting SEC/FINRA requirements, SmartSearch allows readily available access to digitally-archived records while prohibiting changes to the underlying images.