



AODOCS for Financial Services with Compliance Archive

Agile business processes and document control on top of Google Workspace's cloud collaboration platform, for SEC/FINRA/CFTC-regulated organizations

AODOCS: The Cloud Document Management and Business Process Platform

AODOCS is the only cloud document management and business process platform fully integrated with Google Drive and Workspace, allowing organizations in all industries to easily control their documents, scale their business critical processes, and meet compliance requirements - all while enhancing user experience. AODOCS' patented platform is used by Google and recommended for Workspace.

AODOCS' migration tools make it easy to import your content from legacy systems such as SharePoint, Lotus Notes, OpenText, Hyland, FileNet, and other legacy platforms. Replacing legacy systems with a cloud-based collaborative platform, AODOCS dramatically reduces the time and money spent maintaining IT systems, while improving business agility and reducing risks.

 Document Control	 Business Process	 Built on the Cloud
 Document lifecycle	 Workflow engine	 Google user experience
 Metadata & data model	 Audit & reports	 Real-time collaboration
 Permissions management	 Retention & disposition process	 Smart content processing
 Version control	 Low code customization	 Security
 Immutable archive	 API integration	 Performance

AODOCS Compliance Archive, Engineered for SEC/FINRA/CFTC-Regulated Organizations

Many financial services organizations want to bring more agility to their business with Google Workspace but think that cloud collaboration platforms are incompatible with their compliance obligations. AODOCS and its Compliance Archive module can help regulated organizations solve this problem by capturing and storing "books and records" in compliance with the regulatory requirements such as **SEC Rule 17a-4(f)**. End users can enjoy the collaborative experience of Workspace while AODOCS seamlessly capture, control and store all Drive-based content to ensure regulatory compliance. In addition to Drive-based content, records generated from other systems or received via email/paper can also be stored in AODOCS Compliance Archive.

AODOCS runs on Google Cloud Platform, leveraging its state of the art security, reliability and performance. The Compliance Archive module relies on Google Cloud Storage which provides the infrastructure and controls required to comply with **SEC Rule 17a-4(f)**, and in particular the non-rewritable, non-erasable format of stored records. With the pending certification of AODOCS' Compliance Archive, broker-dealers and other financial services entities will be able to create and preserve records and communications related to their business for the required retention period in compliance with relevant laws, regulations, and industry best practices.

AODOCS Enhances the Google User Experience and Real-Time Collaboration With:

Right Access at the Right Time

- > Single Sign On (SSO) Authentication
- > Granular permissions at subfolder and object level
- > Metadata-based permissions
- > Workflow state-based permissions

Security

- > Granular sharing rules
- > Ability to limit copy download, print broadly
- > Ability to offer "soft delete" and eliminate deletion option
- > Exception management

SEC/FINRA/CFTC Compliance

- > **Immutable storage of records GCS immutably, in compliance with SEC Rule 17a-4(f)**
- > Immutable audit log
- > Granular retention & disposition support
- > Legal and Regulatory holds