



AODOCS for Financial Services with Compliance Archive

Agile business processes and document control on top of Google Workspace's cloud collaboration platform, for FINRA/SEC-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
<ul style="list-style-type: none">Document lifecycleMetadata & data modelPermissions managementVersion controlImmutable archive	<ul style="list-style-type: none">Workflow engineAudit & reportsRetention & disposition processLow code customizationAPI integration	<ul style="list-style-type: none">Google user experienceReal-time collaborationSmart content processingSecurityPerformance

AODOCS Compliance Archive, Engineered for FINRA/SEC-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 SEC-regulated organizations solve this problem by capturing and storing "books and records" in compliance with the regulatory requirements of **SEC Rule 17a-4(b)**. 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 Rules 17a-3 and 17a-4**, and in particular the immutability of stored records. With the pending certification of AODOCS' Compliance Archive, broker-dealers will be able to create and preserve a comprehensive record of communications that are related to their business, allowing for books, records, and communications to meet additional FINRA retention guidance, in particular **Release 34-47806, 17 CFR Part 241**.

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

FINRA/SEC Compliance

- > Record stored in GCS immutably, in compliance with SEC Rule 17a-4(b)
- > Immutable audit log
- > Granular retention & disposition support
- > Legal and Regulatory hold