



Securities  
Compliance Advisors, LLC

SCA Innovation

# DOCUMENT COMPLIANCE MANAGER POWERED BY SPRINGCM



## BENEFITS

- Immediate access to the most current versions of compliance-related documents, all stored in one central location
- Past versions of documents captured and archived in one location for regulatory review, books and records responsibilities, internal reviews and guidance in preparing future versions
- Reduced exposure to regulatory disciplinary action achieved by managing calendars of required actions (including compliance tasks, meetings, etc ...) and evidencing their completion within required timeframes
- A streamlined system of communication for review and approval of all required compliance-related communications
- Automated alerts and reminders for expiration certifications that save firm personnel time and keep them continuously up-to-date on compliance deadlines

## NEXT STEPS FOR DOCUMENT COMPLIANCE MANAGER

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## Quickly and Easily Solve Compliance Challenges for FINRA Registered Broker-Dealers

Today's Financial Industry Regulatory Authority ("FINRA") registered broker-dealers are faced with numerous compliance challenges in the continuously evolving world of securities regulation, including:

- Maintaining versions of Written Supervisory Procedures and registered representative acknowledgments of receipt
- Ensuring registered representatives collect all required information during the account opening process
- Responding to regulator requests for information and preparing for regulatory exams
- Complying with new-hire requirements
- Tracking registered representatives' completion of regulatory and firm Continuing Education ("CE") requirements
- Monitoring WebCRD Firm Queues
- Ensuring that registered representatives complete all required annual acknowledgments and disclosures
- Monitoring registered representatives' outside business activities, personal brokerage accounts, private securities transactions and gifts given and received
- Scheduling and documenting branch audits and anti-money laundering ("AML") audits
- Documenting FINRA supervisory control reviews
- Maintaining current Business Continuity Plans ("BCP"), Privacy Notices and AML Notices and disclosures
- Maintaining records of regulatory form filings, such as Form BD and U-4 amendments

Failure to comply with FINRA, Securities and Exchange Commission ("SEC") and State Regulator rules and regulations can result in fines; suspensions or expulsions; increased frequency of FINRA, SEC and SRO exams; damage to reputation; and loss of business.

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## Solution Overview

To assist broker-dealer compliance personnel in meeting these complex compliance challenges, Securities Compliance Advisors has developed the Document Compliance Manager (“DCM”) Program, a comprehensive approach to monitoring, scheduling, completing and documenting compliance with regulatory requirements. Utilizing the DCM Program, broker-dealer compliance personnel now have the tools to:

- Streamline a system to create, review and approve compliance documents in one location accessible to both appropriate internal personnel and outside consultants
- Maintain a compliance library of current approved forms
- Monitor, schedule and document compliance tasks in accordance with regulatory deadlines
- Create a system to ensure documents are reviewed and approved by appropriate supervisory personnel
- Provide home and branch offices and individual registered representatives with access to a centralized repository of compliance information and documents
- Manage registered representatives’ compliance and continuing education information at an individual level
- Distribute documents to employees electronically and track receipt and completion of acknowledgments and disclosures
- Control access to confidential compliance information in a secure environment
- Facilitate rapid responses to regulatory requests for information and exam preparation
- Archive compliance documentation for future reference and audits

*The Document Compliance Manager Solution* provides all of these services for a low monthly fee without software to install or hardware to purchase and maintain.

## Features and Benefits

*Document Compliance Manager combines powerful document management and capture, process automation, fax and e-mail in a single Web-based software service that is easy to use and accessible from any computer with an Internet connection.*

Document Compliance Manager allows firms to organize their compliance programs and save time and expenses by:

Feature	Benefit
Creating a single compliance document library of Written Supervisory Procedures and amendments, audit programs and testing modules, compliance calendars and checklists, annual disclosure and acknowledgment forms, CE Plans, WebCRD Queue Report forms, privacy notices, AML Notices and disclosures, new hire packages, FINRA Rule 3012/3013 Certifications and Memoranda, blank FINRA forms (e.g., BD, U-4, U-5) and state registration fee schedules.	By ensuring that registered representatives, registered principals and compliance personnel have immediate access to the most current versions of compliance-related documents and procedures, critical FINRA forms, regulatory Web sites and links in one central location, firm personnel will be able to avoid time-consuming and frustrating searches for information.
Documenting version control of crucial compliance documents.	By maintaining a documented history of Written Supervisory Procedures and amendments, AML Programs, Supervisory Control Reviews, branch audits, Continuing Education Plans and Business Continuity Plans, compliance personnel can be confident that all past versions of documents are captured and archived in one location for regulatory review, books and records responsibilities, internal reviews and guidance in preparing future versions.

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Streamlining the scheduling and completion of compliance tasks, WebCRD Firm Queue monitoring, annual compliance meetings, audits, CE requirements, registered representative testing and state registrations.

Routing documents for review and approval within the home office and between branch offices and the home office.

Establishing expiration certifications on documents to automatically notify registered representatives and principals of impending compliance deadlines, including annual acknowledgments and disclosures, CE requirements, state registration requirements, testing requirements, heightened supervision requirements and disclosure issues.

Capturing and archiving compliance-related documents via e-mail and facsimile between registered representatives and principals in both the home and branch offices.

Collaborating with external advisors, such as Securities Compliance Advisors, in developing and editing critical compliance documents, programs and audits

Preparing for regulatory exams, branch office audits, AML audits and supervisory control reviews.

By managing calendars of required actions (including compliance tasks, meetings, audits and educational requirements) and evidencing their completion within required timeframes, the firm will be able to greatly reduce exposure to regulatory disciplinary action.

The firm will be able to prevent lapses in supervision by creating an established streamlined system of communication for review and approval of all required compliance-related communications by routing such communications between registered representatives, principals, branch office managers and compliance personnel.

By utilizing the technology of expiration certifications, compliance personnel will be able to automate many alerts and reminders to firm personnel, thereby saving time and keeping firm personnel continuously up-to-date on compliance deadlines.

By electronically routing all compliance-related documents, registered representatives, principals and branch managers — whether located at the home or branch offices — will be able to directly submit compliance related information by e-mail and facsimile to one centrally located and immediately accessible location.

By providing external advisors (including compliance advisors and auditors) immediate access to compliance documents, the firm will be able to rapidly facilitate advisors' reviews and edits of integral compliance procedures, documents, forms, audits and regulatory exam responses.

By maintaining critical compliance documents in one organized and managed location, the firm will be able to expedite responses to regulatory requests for information and quickly compile documents and materials for audits, exams and reviews.

## Easy to Set Up – Easy to Use

The Document Compliance Manager Program is available as an on-demand Internet-based service so the firm does not need to spend time or resources installing software or buying and maintaining hardware. **Within a short period of time, the firm will be able to establish one comprehensive securities compliance document control system perpetually accessible to all appropriate personnel.** Once the firm establishes an organized and structured system of document control, compliance personnel will be able to ensure that the firm and its registered representatives are in compliance with regulatory requirements at all times, thereby avoiding costly fines and other regulatory disciplinary actions, as well as damage to the firm's reputation.

## Powered by SpringCM – The Leading On-Demand Document Management and Workflow Platform

The Document Compliance Manager Program is powered by the SpringCM platform, the industry's leading on-demand document management and workflow platform. SpringCM delivers affordable, easy-to-deploy document management and workflow solutions in a completely Web-based environment. SpringCM's award-winning enterprise content management (ECM) service eliminates software installations, hardware maintenance and prolonged customization cycles associated with on-premises applications. For more information, please visit [www.springcm.com](http://www.springcm.com).



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