

# Will Your Business Survive an SEC Audit?

You Can Simplify SEC Rule 17 Compliance with Automation and AI

SEC Rule 17 requires financial services organizations to preserve records throughout their retention periods in a way that supports both regulatory oversight and the ongoing needs of the business. Relying on manual processes or disconnected systems makes compliance difficult and expensive. When obligations are not met, organizations can face intense regulatory attention that triggers corrective actions and strains resources.



## How do Sys.tm® and the PaperVision® Product Suite Help Businesses Stay Compliant with SEC Rule 17?

- Automate compliant record capture and filing
- Centralize records for faster retrieval
- Reduce compliance infrastructure costs
- Minimize risk through workflow automation

## Stay in Compliance While Improving Efficiency and Productivity:

Sys.tm and PaperVision streamline records management with automated workflows and centralized access, which reduces staff burden and lowers the total cost of compliance.

**MAYER  
BROWN**

“The SEC’s 2022 amendments to Rule 17a-4 adopt a technology-neutral approach, allowing cloud and modern electronic storage instead of only WORM formats. Broker-dealers may use third-party recordkeepers but remain responsible for ensuring records are accurate, accessible, and promptly producible. Compliance requires updates to prior written undertakings and service agreements, with a six-month window after Federal Register publication.”<sup>1</sup>

— **Steffen Hemmerich, Anna Pinedo & Stephen Vogt, Mayer Brown**

1: Retrieved from: <https://www.mayerbrown.com/en/insights/publications/2022/10/sec-adopts-amendments-to-electronic-recordkeeping-requirements-for-broker-dealers-and-security-based-swap-entities>



[www.digitechsystems.com](http://www.digitechsystems.com)



866.374.3569



[info@digitechsystems.com](mailto:info@digitechsystems.com)

# Simplify SEC Rule 17 Records Management at Scale

What if you could ensure your trade confirmations, customer files, and communications are protected and retained according to SEC Rule 17 requirements without slowing down business operations? Sys.tm and PaperVision help you to categorize documents quickly, apply appropriate security and retention schedules, and keep information accessible, making compliance automatic and scalable.

## Automate Compliant Record Capture and Filing

How much time do your employees spend identifying important records and manually applying retention and security? Both PaperVision and Sys.tm use Artificial Intelligence (AI) to recognize, capture and classify records automatically. When you know what data a record contains, the products will automatically apply compliance rules without manual effort.

## Centralize Records for Faster Retrieval

How many systems do your auditors have to sort through to get everything they need? PaperVision and Sys.tm consolidate records into a single searchable repository, dramatically reducing audit preparation time. They can maintain necessary data separations and access levels to keep information strictly within the rules you set.

## Reduce Compliance Infrastructure Costs

Is compliance technology becoming too expensive? Choose flexible, cloud-enabled storage options, like PaperVision and Sys.tm that meet SEC requirements while minimizing capital investment.

## Minimize Risk through Workflow Automation

Are manual steps causing data errors and creating compliance gaps? AI-based data recognition eliminates typos, and automated workflows enforce consistent handling of regulated records and data. Together, they reduce errors and strengthen compliance outcomes



Regulators have emphasized that effective oversight depends on data that is accessible and usable, not merely retained. “Regulatory recommendations and policy outcomes are increasingly driven by data and market observations, raising expectations for firms to maintain records in systems that support timely access and analysis during examinations.”<sup>2</sup>

**— Caroline Pham, Commissioner, Commodities Futures Trading Commission**

2: Retrieved from: <https://www.cftc.gov/PressRoom/SpeechesTestimony/phamstatement060424>

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