

# Industry Brief: Financial Services



## Enhance Security and Regulatory Compliance

*In terms of earnings, the financial services industry is one of the largest markets in the world. It encompasses a wide variety of businesses and services including banks, securities firms, insurance companies, mutual fund organizations, investment banks, pension funds and mortgage lenders.*

*AIIM study results state financial service companies identified improved compliance, increased productivity and increased customer satisfaction as the three most important potential benefits of ECM systems.*

### The Financial Services Market

In the financial services marketplace, information security, reliable recordkeeping and regulatory compliance are core elements of a solid financial foundation. The protection and security of information is necessary to build customer trust, maintain compliance with the law and protect the company reputation. Digitech Systems provides affordable, easy-to-use Enterprise Content Management (ECM) that assists financial institutions with:

- Maintaining information security, confidentiality and customer privacy.
- Tracking system activity and information disclosures for enhanced compliance and accountability.
- Preserving the accuracy and reliability of the document archive.

*59.7% of banking and finance companies do not yet use an ECM system as their basic approach toward meeting compliance requirements, according to AIIM compliance survey results.*

### Privacy Protection Builds Customer Confidence and Trust

Protecting customers' nonpublic information and controlling how customer information is collected, secured and used are top priorities for financial institutions that need to mitigate IT security risks. Digitech Systems' ECM technology provides comprehensive and flexible security settings that protect information throughout the document lifecycle.

- 256-bit AES data encryption occurs both during transmission and when stored, so financial statements are guarded at every step.
- Configurable security policies control information access and restrict user abilities.
- Redaction limits the viewing of sensitive information within a loan application to maintain confidentiality.
- Login security controls network traffic and blocks unauthorized transmissions.

## System Auditing and Controlled Disclosures Enhance Compliance

The Sarbanes-Oxley Act, Gramm-Leach Bliley Act and other laws require companies to monitor disclosures, explain how customer information is shared and validate internal security controls and compliant procedures. ImageSilo® and PaperVision® Enterprise ECM product suites enable companies to securely share information, confirm system settings and provide evidence of system usage.

- Document history reports provide detailed records of all documents that are accessed by a user and track activity for increased accountability with financial reporting processes.
- Email management provides non-repudiation to verify message integrity and display only the originally captured version of an email message.
- Enhanced auditing allows users to share information only with those on a pre-approved list and records all disclosures.
- Document grants allow customers secure, web-based access to documents for a specific time period.



*“We had wanted to go paperless for ten to fifteen years, but it was too expensive. We kept shopping for document management software until we found PaperVision® Enterprise. It has made our transition an affordable one that was easy to implement. In addition, PaperVision Enterprise allowed us to trade administrative expenses for revenue generating investments.”*

- Hawley MacLean, MacLean Financial Group

## ECM Ensures System Accuracy and Reliability

### Key Features

- Configurable security policies control information access and restrict user abilities.
- Extensive audit trails log disclosures and provide documented evidence of compliance.
- Workflow ensures documents are processed properly.
- ImageSilo offers multiple redundant systems that eliminate failures affecting information availability.

The integrity, accuracy and reliability of document archives are of utmost importance in the financial industry. Timely and reliable information is essential to process transactions and support decision making at all levels. Digitech Systems provides technology that makes it possible for institutions to ensure accuracy and have confidence in their information system.

- Version controls make sure users have the most recent documents.
- Workflow ensures specific conditions are met before routing documents through automated procedural steps.
- ImageSilo offers built-in data redundancy that eliminates the potential of hardware failures affecting information availability.
- Backup processing and data replication simplify the disaster recovery process.

For a complete product listing, please visit [www.digitechsystems.com](http://www.digitechsystems.com) or call toll free 866.374.3569.

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