

## CHALLENGE

To select technologies to fulfill our mission *to help advisors and their clients redefine true wealth and find the freedom to live life more abundantly. By equipping and inspiring financial advisors, we are mobilizing a new community of advisors with a refreshing new perspective.*

## SOLUTION

Selecting NetDocuments as a Software-as-a-Service (SaaS) application, offered us a cost-effective solution that can grow as advisors join our program. It provided our advisors access anywhere, anytime, and provide security per advisor and his/her respective clients.

## RESULTS

In late September 2008 a highWAY advisor did some unethical things, including deleting all his client files within the NetDocuments environment. Per SEC rules, highWAY is required to keep all client files for seven years after any client leaves highWAY. Well, that was a MAJOR violation of SEC rules, considering those deleted client records were still clients of highWAY.

- 1) Because of the NetDocuments system I was able to identify that the files were deleted. With our old server paradigm, who knows how long it may have been before I noticed the files were deleted.
- 2) Because of the NetDocuments system I was able to identify who deleted the files and when. With that electronic paper trail we had a sound case to terminate the unethical advisor, which we did.
- 3) Because of the NetDocuments system all the deleted files and folders were restored within 24 hours and we were back in compliance with the SEC.

**Do you think highWAY loves NetDocuments!**