

Financial Services

NetDocuments takes your firm into the 21st century with cloud computing to securely manage, collaborate and protect your document work without the hassles of on-premise DMS. Collaborate with your clients as easy as sharing internally. NetDocuments is a document management service you can use anywhere, anytime with business continuity built-in.

SaaS-Based Document Management

As a financial advisor, you live and work to service your clients and lead successful meetings, all while reducing the cost of compliance. NetDocuments, a Web-hosted, Software-as-a-Service (SaaS) document, email and records management service, offers a feature-rich, easy-to-use, and customizable environment that will reduce your IT budget and save you money, eliminate the hassles of installing servers onsite, better protect your content, and make it easier to share documents with your clients.



Easy to Use and Always Available

With NetDocuments, the browser is your interface removing the technical barriers of learning a new way. With minimal training and you're off and running. Access your documents 24x7, at work, at home, and on the road. Organize your work in client-centric workspaces with transparent tagging. And simply drag and drop emails from MS Outlook to NetDocuments to store and record emails.

Reduce Costs of Compliance

NetDocuments will satisfy your compliance requirements for digital record keeping whether you are a broker-dealer or an RIA without hassles. Store in WORM-compliant cabinets, serialize and index your originals and duplicates with the best-of-breed NDSearch technology; define retention policies and audit histories to preserve your digital records according to the customer's needs and SEC and FINRA compliance requirements; and provide immediate access to auditors upon demand.

Share with Clients

Convert your estate planning portfolio binders to digital, secured, transparent, and anytime accessible portfolio's. Increase client loyalty. Eliminate sharing confidential documents via email as well. Use email to notify, not to distribute versions and versions of attachments. Control permissions, track activity and involve your clients, and even other professionals, in a collaborative, frequently accessible and branded interface.

More Power to Your Searches

NDSearch, an enterprise-class search platform available for all NetDocuments customers, helps find what you need fast when that client is on the line as well as search the content of documents across your entire repository. Get automatic exposure to unknown content that match your interests such as topics, company names, people, locations, etc. View a snippet of each document; find similar documents, and search emails and attachments.

World-Class Hosted Data Centers

Two fully-redundant, world-class data centers are built with the expertise and experience of data center management and transparency. With 99.99% service-level performance, your firm's documents are always available, protected, and backed up without additional costs. For further peace of mind, optionally deploy the ND Local Document Service to maintain another backup at your premises.

Key User Features

- **Includes all Basic DMS Features** - Globally accessible from any Internet-connected device including smart phones. Check in-out concurrency control, version control, customizable profiling, history, permissions, full-text and profile searching, navigational folders, recently opened/edit/added lists, etc.
- **Client-Centric Workspaces** - Template-based and very scalable. Set automatic document type foldering (medical documents, financial statements, correspondence, deeds, living will, etc.) and transparent tagging for subsequent searching. Drag and drop support, external sharing capability, mashups supported, and dynamic discovery search analysis.
- **Collaboration** - Email notifications, email in/out, threaded discussions, calendaring, global sharing, password management, activity tracking, branding, external user administration and setup. Multiple sharing choices in ShareSpaces, Workspaces or Cabinets for small, simple collaboration to large document repositories for large clients or projects.
- **Email Management** - An add-on service displaying folders and workspaces within MS Outlook for filing and archiving. Single instance storage, move/copy from Outlook, email search and Workspace views within Outlook. Outlook Save and Insert buttons also available and email to folders supported. Email from NetDocuments is MAPI-compliant supporting MS Outlook, Lotus Notes or Novell GroupWise.
- **Personal Home Page** - Create your own sections and shortcuts, including web links to your favorite documents, folders, web sites for quick access.
- **Mobile Access** - Access, view, search, and email your documents from any PDA or smart phone.

2 World Class Data Centers



6  **KEY**
FEATURES

Administrative Features

- **Active Directory Authentication** - When users are authenticated via a Local LAN-based Active Directory service, they can set a flag for an Automated User Login process.
- **MS Office Integrations** - Application integration to create new documents from within NetDocuments is supported. Optionally, File New, Open and Save menu integrations within MS Office and WordPerfect are available. Leading third-party document automation packages support NetDocuments.
- **Access Control Rights** - Security rights can be set at the cabinet, folder, profile or document levels. Security templates are supported.
- **WORM Cabinets**- Create virtual WORM cabinets, where electronic files can be written once, read many times, but never altered or deleted.
- **Client-Centric Workspaces** - Pre-defined templates can be setup for the automatic creation of workspaces for hundreds to thousands of clients. External users can access workspaces with special features associated.
- **CRM Integration** - Currently integrated with Salesforce.com and Microsoft CRM. Contact us to learn about integrating your existing CRM to NetDocuments. NetDocuments is an open, customizable document management with web services APIs for integration opportunities.
- **Records Retention Policies**- Included with NetDocuments Professional. Profiling is required to create and execute policies on client closings, document type retentions or any other profile values.
- **NDSearch Analysis** - Add on Service. Refer to NetDocuments NDSearch datasheet for further details.
- **Compliance** - A complete review of all requirements outlined in the SEC Rulings 17a for Broker-Dealers and SEC Rulings 31a-2 and 204-2 for Investment Advisors is described in the NetDocuments Financial Services Compliance White Paper located at www.netdocuments.com.

Service Requirements

- **Browser** - NetDocuments supports Internet Explorer (IE) 7 or higher. For other browsers or operating system other than Windows, NetDocuments will direct the user to its ND2 interface with limited functionality supporting all other Internet connected devices. To benefit from the full list of features described above, IE is strongly recommended.

