



HP Compliant Document Capture for SEC Regulation 17a

Overview

HP Compliant Document Capture improves business compliance posture toward important financial services industry regulations including SEC 17a. The solution of software, services and document capture hardware seamlessly archives regulated documents and streamlines document workflows to improve execution speed, improve productivity and minimize cost. HP is uniquely positioned to provide the financial services industry expertise and the complete range of technology solutions necessary to help financial institutions achieve more efficient and compliant document workflows.

The Securities Exchange Act, SEC CFR Rule 17a requires that all transaction records, relating to any securities transaction, must be kept in non-rewritable and non-erasable format including documents in email, fax and mail. HP Compliant Document Capture obtains and captures regulated email, fax and couriered mail documentation quickly and easily from the point of creation. With this offering, HP is the one vendor in place that can provide the necessary expertise and technology to help financial institutions achieve business process compliance.

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Key features and benefits

- A bundle of hardware, software and services that streamlines workflow, improves execution speed and minimizes cost
- Centralize management with a complete, collective system of hardware: HP multifunction printers and HP Scanjet scanners to capture documents, software: HP Digital Sending and Partner software to process, route, and archive documents, and services: HP Services Assessment, Installation & Configuration, Support and Maintenance
- Maintain a strong compliance posture with an automatic audit trail and electronic archive for all sent documents
- The network-friendly, plug-and-play solution allows for easy, user-friendly installation and management
- Maximize user productivity with HP multifunction devices that provide document capture, copy and print
- Reduce time spent at the device with the intuitive Easy Select control panel that allows multiple authentication options

Pricing and availability

Contact an HP sales representative for pricing and services information. Expected to be available in the United States for purchase in June, with plans for a similar offering in

other regions to follow.

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