ReadyDoc for Advisors Assistant™ merges an industry leading client management program – Advisors Assistant®– with a web-based electronic document management system – ReadyDoc®. The result is a powerful combination that converts paper documents to electronic files and automatically links them to each client. There's minimal data entry, and very little learning curve for Advisors Assistant® users.

Now you can capture documents from within Advisors Assistant®, and store them in ReadyDoc®. This easy to use application has all the features and efficiencies of a true Document Imaging and Management System.

Key information from Advisors Assistant® such as the client name, SSN or Tax ID, and type of document is stored in ReadyDoc. You can then perform stand-alone searches for documents from within ReadyDoc. In addition, client documents can be easily accessed from within Advisors Assistant.

ReadyDoc for Advisors Assistant™ provides the ability to:

1. Scan or electronically import documents from within Advisors Assistant, and store the documents in *ReadyDoc* in a secure, efficient, and regulatory compliant manner.

2. Access the documents stored in *ReadyDoc* from within Advisors Assistant by clicking on File links, like any other linked document within Advisors Assistant.

3. Populate ReadyDoc from Advisors Assistant and maintain control of your data with the powerful stand-alone searches in ReadyDoc.

Pricing

$59/month for the first 10 Gigabytes of storage (approximately 200,000 - 400,000 scanned black and white pages.)
$20/month for each additional 5 GB of storage

One-Time Setup
$99 for the first 2 users or two hours, $50 for each additional User/Workstation Setup

Scanning from up to 25 workstations supported at the above pricing. Additional users are sold in blocks of 5 for $10/month.

If you already have documents scanned with Imaging Assistant® or scanned documents linked through Advisors Assistant's *View Client With Files*, those documents can be moved to ReadyDoc for $500.

Hardware Specifications

- TWAIN-compliant scanner
- Minimum operating system of Windows XP SP3 and at least 100MB of free disk space
- Web browser: Internet Explorer or Firefox recommended

Security

ReadyDoc® is hosted in an SAS70 Type II-compliant data center, and all requests to and from the ReadyDoc servers are done using Secure Socket Layer (SSL) encryption. Each user in ReadyDoc must be created and granted specific rights to create, view or update documents. Security can be applied down to the document level, though the most convenient method is to apply security at a folder level using Groups, then assign users to those groups.

When setting up the ReadyDoc for Advisors Assistant™ interface, each workstation is configured with a specific user login and password to ReadyDoc, so it is possible to limit specific users to View only access to documents, and/or to allow capture of new documents.

If a user is restricted from accessing specific client records within Advisors Assistant®, then they will also be restricted from creating or viewing documents in ReadyDoc for those clients. In this way, client document access is left up to the administration of security within Advisors Assistant®.

Compliance

Financial Industry Compliance is a matter addressed by policies and procedures, in addition to technology. When combined with formalized procedures, ReadyDoc allows you to ensure compliance with multiple SEC and FINRA regulations, while improving efficiency in managing your business documents.

With ReadyDoc you can implement a compliant solution by controlling access to documents, enforcing document retention policies, and providing a complete document history audit trail.

ReadyDoc helps ensure Compliance in the following ways:

- Meets SEC Rules 17a-3 and 17a-4 regarding Electronic Storage of Documents
- ReadyDoc's SEC 17a-4 compliant storage solution serializes each WORM volume with a unique identifier. Each record is also serialized with a unique file name and date time stamp
- Images are backed up to non-erasable WORM media (Write Once, Read Many)
- Provides Instant retrieval of records for inspection by regulatory agencies
- Organizes and indexes all records through metadata fields (For example: document name, folder name, date, account number, client name, etc.)
- Provides an audit trail of document and user actions
- Permits backup of all records to separate disk or other media for off-site storage

ReadyDoc streamlines your compliance processes by protecting your documents from unauthorized access in a way the windows files system or file cabinets cannot.

Advisors Assistant® is a registered trademark of Client Marketing Systems, www.AdvisorsAssistant.com
ReadyDoc® is a registered trademark of ReadyDoc Document Management, www.ReadyDoc.com