



Fortis® and Sarbanes-Oxley Compliance

The Sarbanes-Oxley Act (SOX) seeks to protect investors by improving the accuracy and reliability of corporate disclosures made pursuant to the securities laws. SOX makes it a crime for any person to destroy, alter, or conceal any document to prevent its use in official legal proceedings. Implementing **Fortis** addresses this concern, along with other document management issues related to SOX compliance including business process management, security, versioning and auditing. Because **Fortis** automates business processes put in place for regulatory compliance, use of the software ensures that these processes are followed consistently, and are easy to track and audit. With **Fortis**, documents are captured, secured, and retained in a highly controlled storage and management environment. In addition, the **Fortis Audit Trail** enables organizations to accurately track who is accessing, modifying or deleting documents.

Elements of Compliance

- **Archive all electronic and paper-based documents:** All documents that must be retained are stored in a secure electronic repository
- **Security and retention:** **Fortis** offers tools to create the necessary security and document retention policies
- **Business process automation:** Publish, enforce, and audit mandated business processes
- **Transparency:** Enable rapid access to all appropriate business documents
- **Discovery:** Search all corporate documents to discover all information pertaining to specific business issues
- **Monitor Access:** Prevent unauthorized use, editing or deletion of documents
- **Confidentiality:** Safeguard private data through access security and redaction

Solution Methodology

- **Advanced capture and secure retention:** Image and archive all incoming and outgoing paper and electronic communication
- **Revision control:** Place all office documents (Microsoft Word, email, faxes, spreadsheets, memos) under revision control and enforce pre-determined retention strategy
- **Automated processes:** Ensure compliance by providing electronic notifications and automatic escalation to minimize human error
- **Comprehensive Audit Trail:** Detailed reporting on who views, accesses, prints, and changes all documents
- **Full text search:** Content is indexed for easy retrieval, audit and discovery

Compliance Benefits

With **Fortis** your organization can:

- ✓ Ensure adherence to corporate best practices
- ✓ Audit all access and modifications to corporate documents
- ✓ Impose document retention and purging schedules
- ✓ Enable permission-based access to relevant corporate materials pertaining to any potential legal matters
- ✓ Ensure the ability to find, retrieve and deliver files for a timely response to information requests
- ✓ Provide a disaster recovery backup to ensure critical records are never lost



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