



Going Paperless with Rubex

WHAT IS Rubex?

Rubex is an online electronic "file cabinet" (Storage and Record Retention system) or commonly referred to as a Document Management System (DMS). A DMS is a software that helps organize, secure, digitize, and tag your files.

WHY USE IT? "PAPERLESS OFFICE" AND IMMEDIATE ACCESS TO FILES

FREEDOM

There is a sense of "lightness" associated with going paperless. No longer will you have to perform the painstaking task of searching for client information. Document disarray is the #1 cause of organizational chaos and can also be a significant contributor to Regulatory issues or audit problems. Free yourself from the chaos!

CONVENIENCE

It will always be right at your fingertips. If you feel like working from home today, you have your client documents with you. If you feel like going into the office the next day, you still have your client files. If you're on the road and a client calls you with an emergency, you can access their data.

PEACE OF MIND

Security breaches, information leaks, and data catastrophes dominate headlines. Electronic document management provides the tools to keep your client information safe at home, in the office, and on the road or anywhere you have internet access. Rubex is protected with encryption and has several backups. Considerably reducing the risks associated with paper files or storing files in a less secure DMS.

YOUR RIA REQUIRES IT

When you sign on to be an Investment Advisor Representative, it is your RIA's duty and obligation to ensure you are being compliant and following the rules. Client confidentiality is at the heart of your relationship with your clients, and ensuring the safety of their sensitive information is one of every Advisor's responsibilities. They entrust you with their money and all of their private information. You must ensure it is safe. Bedrock has selected Rubex as our DMS, and all client and regulatory records must be stored in this manner.

AUDIT AUDIT AUDIT

This word can feel intimidating, but it doesn't have to be. By using Rubex, you can keep your documents organized and in one place. Should you ever be audited, you will know right where everything is and not risk the potential fines or sanctions that come from misplacing documents or failing to adhere to regulatory requirements. You also can significantly reduce the time necessary to prepare for inevitable regulatory scrutiny and avoid what could be days searching for requested documents if you neglect to keep them organized.

HOW DO I USE IT?

You will no longer have to keep paper files or upload documents to the current online system you may use. Our operations department processes all of your paperwork, and then BEDROCK uploads your documents into your Rubex Cabinet, for you. You will have access to your cabinet to view all of your client documents, and your compliance manager will be able to work with you on your files in real-time to discuss any issues or client questions that may arise.

AVOIDING THE UNNECESSARY RISKS

Nothing is perfect, and even if an Advisor diligently uses Rubex, or any other DMS or paper file system, problems can occur, and mistakes can happen. But with focused attention by both the IAR and Bedrock, we believe that this DMS helps us avoid as many unnecessary risks as possible, and helping everyone maintain our compliance requirements with a minimal amount of added effort.

**BWM Advisory,
LLC**

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