

AdvisorVault: The Only 17a-4 D3P Combining Microsoft 365

AdvisorVault became a Microsoft 365 Cloud Service Provider, bundling all the features with their 17a-4 D3P service for FINRA firms

NEW YORK, NY, UNITED STATES, February 21, 2025 /EINPresswire.com/ -- Noticing problems with customers meeting the electronic records retention demands of FINRA rule 17a-4, AdvisorVault became a Microsoft 365 Cloud Service Provider (365 CSP); bundling all the features with their 17a-4 D3P service - getting firms properly on the Microsoft cloud.



"We decided to become a 365 CSP since it's the best option for our smaller firms – those under 20 registered reps, who wanted to get compliant on the cloud. By becoming a 365 CSP we could properly support them (we understood their unique compliance demands)", Allan Lonz says,

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Allan Lonz, President

President, AdvisorVault. "We built a full cloud option including features, out of the box - best of all it seamlessly connects into our 17a-4 archiving service, giving them a compliant cloud for one flat monthly fee." Lonz added.

Closing the 17a-4 Compliance Gaps

Ultimately, though AdvisorVault became a 365 CSP to close customers' gaps in their 17a-4 archive. In fact, many firms were on Microsoft 365 already (but not fully using it). Problem was, they were in a hybrid situation, with records

scattered half in-house, half in the cloud, also data wasn't properly archived, surely not retained for 17a-4; nor were they cybersecure by FINRA standards. As a result, they were risking audit failure and being their 17a-4 D3P AdvisorVault had to do something, getting customers on the Microsoft cloud was the best option.

Although getting properly on Microsoft 365 was the key to closing the electronic records retention gaps for FINRA firms it was also important for them to totally get rid of in-house systems and migrate completely to the cloud, this meant moving everyone's personal records to OneDrive; company data to SharePoint, migrating to Exchange email with Teams, centrally archived off the cloud meeting 17a-4.

Finally, to help firms with 17a-4 compliance on Microsoft 365, AdvisorVault built-in all the tools needed. Including a FINRA level cybersecurity plug-in, monitoring, advanced email filtering, with records archived off the cloud retained (Seven yrs., to a 17a-4 compliant system) tailored to small firms with the D3P service & attestation letters prepared completing the [demands of 17a-4](#).

About AdvisorVault

AdvisorVault is a FINRA D3P with a turn-key approach including the archiving, retention, and supervision of electronic records– in-house or in the cloud. Including the FINRA third-party service with all the required documentation. For one flat monthly fee it's the only fully 17a-4 compliant option providing complete peace of mind.

To learn more how AdvisorVault can help your firm get 17a-4 compliant on Microsoft 365 [contact us today](#):

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