

## windreamNews



Independent legal opinion once more asserts:



### windream 5.0, too, Fulfills all Legal Requirements Ideally and at the Highest Level



Once again, we assigned an independent lawyer's office specialized in the testing and legal evaluation of IT systems to check the compliance of our windream ECM system.

The evaluation and the legal opinion created on this basis arrived at the conclusion that windream fulfills the legal requirements in Germany, but also in Austria and Switzerland, ideally and at the highest level.

#### Legal opinion valid for Germany, Austria and Switzerland

Already in 2006, windream GmbH ordered a legal opinion in order to have the compliance of the most current windream version at that time, version 4, asserted by a reputable institution. Already back then, the evaluation concluded that windream fulfilled the legal requirements towards an ECM system "to the full extent".

The findings of the new legal opinion do not only refer to the legally relevant archiving functions of the most recent windream version 5.0, but are also valid for Austria and Switzerland.

#### INDEX

Independent legal opinion asserts: windream Fulfills all Legal Requirements Ideally .....	1
Examination passed! PwC Evaluates Annual Report 2010 of windream GmbH.....	3
Swiss Insurance Company Decides on windream ECM System .....	4
windream provides new documentations in English language .....	5
windream Trainings .....	6
Imprint .....	6

## Results of the legal evaluation

Summarizing the results of the evaluation, the legal opinion draws the conclusion that with windream, legally relevant electronic declarations and documents can be compliantly archived in accordance with the guidelines of commercial and fiscal law. Thus, the evidential quality of archived documents is guaranteed.

The legal opinion also asserts that, thanks to the cryptographic security functions of the windream archive, compliant archiving can even be achieved on changeable media – e.g. on regular hard disks, RAID, NAS and SAN. The legal opinion emphasizes the fact that the new functions of the current windream version 5.0 have been integrated under consideration of the compliance of the ECM system in its entirety. Therefore, windream fulfills the "legal requirements of German, Austrian and Swiss law ideally and at the highest level."

## Strict evaluation criteria

The legal opinion is based on a detailed test of the current windream version 5.0 and the integrated high performance windream archive, version 6.0. The tests were carried out in May 2011, according to a detailed list of criteria determined by the evaluating expert. These criteria, among other things, included the exact fulfillment of the requirements formulated in the HGB (Handelsgesetzbuch / German code of commercial law), in the BGB (Bürgerliches Gesetzbuch / German civil code), in the Abgabenordnung (German fiscal code) and in the "Grundsätze der ordnungsmäßigen Buchführung" (GoB/"Guidelines on Compliant Accounting") and the "Grundsätze zum Datenzugriff und zur Prüfbarkeit digitaler Unterlagen (GDPdU / "Guidelines on Data Access and the Verifiability of Digital Documents"). Furthermore, the evaluation is based on the requirements of the Sarbanes Oxley Acts (SOA) and Basel II as international evaluation standards. The legal opinion specifically includes the legal situation in Austria and Switzerland into its final results.

## A safe investment for companies

With this independent legal opinion, not only companies already working with windream, but also companies considering investing in an electronic ECM system receive a long-term safety guarantee for planning and investments, since windream entirely fulfills all legal requirements.

## Examination passed!

# Auditing Firm PwC Evaluates Annual Report of windream GmbH for Business Year 2010



windream GmbH had their annual report 2010 – for the time period from January 1st until December 31st 2010 – evaluated by the independent and internationally renowned auditing firm PricewaterhouseCoopers (PwC). The aim of the evaluation, the result of which was published on May 6<sup>th</sup> 2011, was to “issue an evaluation of the annual report and of

the status report under consideration of the accountancy” – to quote the PwC certificate for windream GmbH.

## Result: no objections

In their final verdict, PwC state that the evaluation resulted in no objections. On the contrary: according to the auditing firm’s evaluations and the information gathered during the testing process, “the annual report corresponds to the legal requirements and conveys an image identical to the actual financial and profit situation of the company under consideration of the rules of compliant auditing.” Furthermore, PwC asserts that the status report of the company corresponds to the annual report and conveys an adequate impression of the current situation of windream GmbH.

## Strict regulations

The PwC evaluation was carried out in accordance with the regulations of the HGB (German commercial code, § 318) and under consideration of the German rules for compliant annual audits issued by the Institut der Wirtschaftsprüfer (Institute of Auditors, IDW). These guidelines, among other things, demand an evaluation of the efficiency of the accounting-specific internal control system as well as documents confirming the information on auditing, annual financial statement and status report. Furthermore, the examination included an evaluation of the balancing policy used and of the general evaluations of the executive director as well as a consideration of the overall results of the annual report and of the status report.

## Swiss Insurance Company Decides on windream ECM System

### Replacement of existing archive after short phase of implementation



Our Swiss windream distributor Kinetic AG is currently implementing a large windream project for a Swiss insurance company. In the future, the company will use windream for the administration and archiving of insurance-relevant documents. Simultaneously, windream replaces the previous archiving system.

The phases of realization and implementation for the new ECM project were launched in December 2010 after a short introductory phase, during which the windream system had to prove its effectiveness. The implementation of the windream ECM software and the preparations for running operations are planned for October 2011. The use of the windream ECM system will be extended to all Swiss branch offices.

### A strong concept

The insurance company names the open windream architecture as the main reason for their decision in favor of the windream ECM system and emphasizes that the performative archive component and the intuitive handling are especially adequate for the organizational concept of their insurances. With these qualifications, windream represents an ideal ECM component for seamless integration into the insurance company's IT concept.

### Reliable partner: Kinetic AG

Furthermore, the insurance company's executive board emphasizes the fact that Kinetic AG as a partner supports the company and its development partners competently and reliably in each phase of the project. It is obvious that Kinetics has been active in the ECM sector for years now and possesses a high degree of experience.

Kinetic integrated the windream ECM system into the professional applications of the company's insurance-specific IT infrastructure. Of course, the integration was carried out under special consideration of Swiss legal requirements towards compliant electronic document archiving. Due to



its open architecture, windream could be integrated into the insurance's IT infrastructure in a matter of days. The replacement of the existing archive was carried out within a very short transition period, during which the entire existing data stock was transferred to windream. In the future, up to 1000 users in the section of insurance organization will be working with windream.

Our distributor Kinetic has successfully been selling the windream ECM system in Switzerland for years – directly as well as via partners. In the past, Kinetic has already implemented extensive and complex IT projects in which windream played a central part as an ECM component.

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## windream GmbH provides new documentations in English language

Our documentation department has translated and updated three new documents. These are:

- The description of the "windream for Centera" integration;
- a description of a windream Failover Cluster installation and
- a document giving information on windream operating on 64 bit systems.

The new documents are free of charge and can be downloaded from our homepage. Just follow the link below to download or to open the new documentations in PDF-format:

[windream documentations \[en\]](#)

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## windream Trainings

Specific windream training sessions in English language will be held on request.

Please contact our Partner Manager Edwin Sembritzki for further information via e-mail [e.sembritzki@windream.com](mailto:e.sembritzki@windream.com) or phone **+49 234 9734-541**.

### Imprint

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