COMPLIANCE DATASHEET

FINRA, SEC 17a-4 and Your ServiceNow Data

How Rezilient Restore helps broker-dealers preserve, protect and produce ServiceNow books and records under FINRA Rule 4511 and SEC Rule 17a-4.

FINRA RULE 4511 · SEC RULE 17A-4, AS AMENDED IN 2022 · MAPPED TO REZILIENT RESTORE

WHY SERVICENOW IS IN SCOPE

Books and records are kept, not just backed up

Rule 4511 requires every FINRA member to preserve books and records for at least six years, in a format and media that comply with SEC Rule 17a-4. Rule 17a-4(f) asks for a complete time-stamped audit trail or non-rewriteable, non-erasable storage, plus a backup system that serves as a redundant set.

Broker-dealers keep complaints, supervisory reviews, approvals and entitlement records in ServiceNow. ServiceNow protects the platform, and its native backup is built for infrastructure disaster recovery, with a 14-day window and full-instance restore. The books and records inside it are your responsibility.

> Broker-dealers keep a "backup electronic recordkeeping system" that "will serve as a redundant set of records if the original electronic recordkeeping system is temporarily or permanently inaccessible".
>
> SEC RULE 17A-4(F)(2)(V)(A)

6 years
Minimum preservation for books and records with no other specified period.

FINRA Rule 4511(b)

First 2 years
Required records kept in an easily accessible place.

SEC Rule 17a-4(a), (b)

14 days
ServiceNow's native backup window, built for platform disaster recovery.

ServiceNow platform documentation

REQUIREMENT TO CAPABILITY

Rules 4511 and 17a-4(f) · continued on page 2

RULE	FINRA AND SEC REQUIREMENT	REZILIENT RESTORE CAPABILITY
Rule 4511(b)	**Keep records six years** Preserve books and records with no specified period "for a period of at least six years".	**Retention set to the rule.** Per-table retention keeps each record class for the period the rule names, not the platform's 14 days.
Rule 17a-4 (f)(2)(i)(A)	**Keep a complete audit trail** A complete time-stamped audit trail of all modifications and deletions, so the original record can be re-created.	**Pre-state and post-state for every record.** Every change is captured with its timestamp, and any version can be re-created.
Rule 17a-4 (f)(2)(i)(B)	**Or keep it unalterable** Alternatively, records kept "exclusively in a non-rewriteable, non-erasable format".	**WORM-grade, immutable storage.** The copy sits off the platform, outside single-admin control, and cannot be altered or deleted from inside ServiceNow.
Rule 17a-4 (f)(2)(v)(A)	**Keep a redundant set** A backup recordkeeping system that serves as a redundant set if the original system is inaccessible.	**An independent, restorable copy.** Restore to the source or to a separate target instance if the original is inaccessible.
Rule 17a-4 (f)(3)(iii)	**Account for every change** With non-rewriteable storage, an audit system providing accountability for each record's input and every change to it.	**Chain of custody.** Signed exports showing who or what changed a record, and when, for the examiner.

REQUIREMENT TO CAPABILITY, CONTINUED

Rules 17a-4(a), (b), (j) and 4511(c)

RULE	FINRA AND SEC REQUIREMENT	REZILIENT RESTORE CAPABILITY
Rule 17a-4(a), (b)	**Keep recent records at hand** Required records kept with the first two years in an easily accessible place.	**Easily accessible, at record level.** Find, restore or export any version of a record without waiting on a full-instance restore.
Rule 17a-4(j)	**Produce records promptly** Furnish the regulator promptly with legible, true, complete and current copies of required records on request.	**Evidence on demand.** Export a record with its history and chain of custody for a FINRA or SEC request.
Rule 4511(c)	**Use a 17a-4 format** Required records preserved "in a format and media that complies with SEA Rule 17a-4".	**Compliance evidence pack.** Retention policy, immutability and restore records packaged for an examination.

Four questions an examiner could ask

Q1
Period
Can you produce a supervisory review or complaint record from five years ago, in the state it was in then?

Q2
Audit trail
If that record was edited, can you show every modification and deletion with a timestamp?

Q3
Immutability
Can anyone with admin rights on the platform rewrite or erase the record, and the backup of it?

Q4
Redundancy
If the platform is inaccessible, where is the redundant set, and how fast can you reach it?

How it works

01
Connect
Install in ServiceNow and link off-platform storage. Live in under one business day.

02
Capture
Continuous, schema-aware change capture across ITSM, CMDB, HRSD, CSM, GRC, SecOps and custom tables.

03
Restore
Record, field, table or workflow level, inside the native ServiceNow experience.

04
Prove
Chain-of-custody exports and audit-ready evidence on demand.

Enforcement screen. Regulators have announced 75 public actions and settlements that cite SEC 17a-4 / FINRA 4511 against 49 organizations we have confirmed as ServiceNow customers, about $2.7 billion in total (2014 to 2025). These are evidence of regulatory exposure, not a claim that ServiceNow data was involved. Source: Rezilient review of public regulator records, 31 Oct 2026.

What this datasheet does not claim. No product makes a firm compliant with Rule 4511 and Rule 17a-4 on its own. Rezilient Restore supplies the immutable, audit-trailed, redundant copy of ServiceNow records those rules describe. Designated third-party access, notices to your designated examining authority and written undertakings remain with your compliance team.

Run a real restore test in 30 days

The 30-day Rezilient Restore trial runs in your non-production instance, live in under one business day, with no commitment. You keep the evidence.

Back Up Now →

rezilient.co/contact-us

Requirement text is summarized from FINRA Rule 4511 and SEC Rule 17a-4 (17 CFR 240.17a-4) as amended in 2022; quoted text is verbatim. This datasheet is for information only and is not legal advice. ServiceNow and Now Assist are trademarks of ServiceNow, Inc. © 2026 Rezilient Corp. · Naples, FL · info@rezilient.co · rezilient.co/compliance/finra · v1.4 · 2 / 2

Back Up Now. Restore Anytime. Always Rezilient.