

How to Prosper



Increase profitability, reclaim office space and simplify regulatory compliance

From the individual planner to the broker-dealer, investment firms face the common challenge of improving profitability while operating in a competitive, multiregulatory environment. Paper storage, time-sensitive retrieval demands and the expense of processing paper documents impede your organization's progress toward meeting that challenge.

Setting the standard in document management for financial services, Laserfiche solutions help you rise to the demands with cost-effective, rapidly deployable solutions. Laserfiche software helps financial services firms prosper by reducing the cost of compliance with SEC, NASD, Sarbanes-Oxley, USA PATRIOT Act and other regulations, improving client service and facilitating information sharing between reps and broker-dealer organizations.

Learn More Inside

- ▶ Reduce the Costs of Compliance
- ▶ Recover Lost Productivity
- ▶ Reclaim Office Space
- ▶ Improve Information Sharing
- ▶ Enhance Disaster Recovery
- ▶ Add Value to Existing Systems

Paper and the Bottom Line

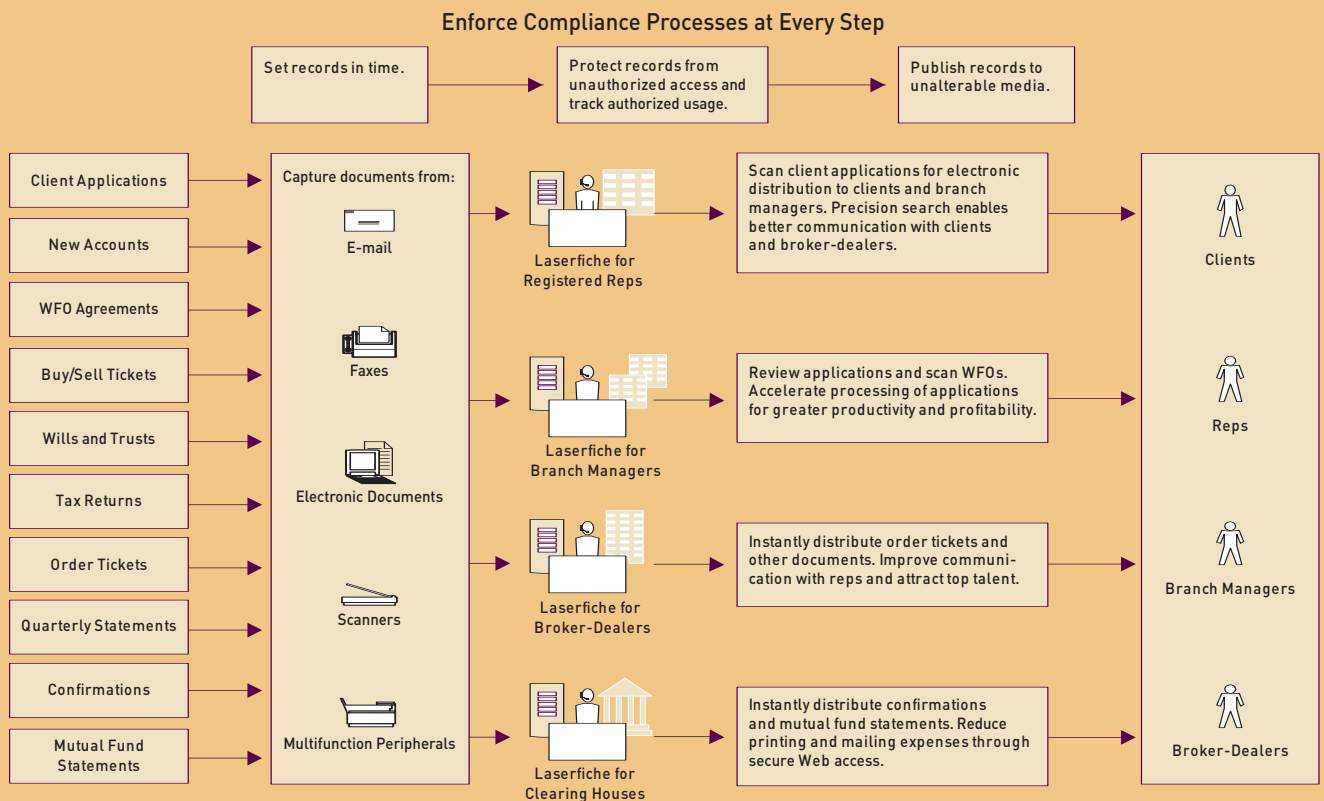
The Business Cost of Paper

- ▶ Productivity lost searching for files
- ▶ Mailing and faxing documents to clients and field personnel
- ▶ Labor-intensive archiving of physical records
- ▶ Expensive physical storage space
- ▶ Document storage and retrieval mandated by multiple regulations
- ▶ The cumulative impact on overhead costs and quality of client service

The Laserfiche Potential

- ▶ Instant document retrieval to improve productivity
- ▶ Fast, economical CD, Web and e-mail document distribution
- ▶ Secure, reliable digital archiving
- ▶ Reduced physical storage space needs with digital media
- ▶ Streamlined compliance processes
- ▶ The cumulative benefits of reduced costs and more efficient client service

Efficiency, Security and Attentive Client Service



"Laserfiche has become an integral part of the B/D's daily workflow. With instant access to essential documents and information, our staff now has the resources it needs to service our reps efficiently and effectively."

Jim Alpern, Imaging System Administrator,
NFP Securities, Inc.

Laserfiche at Work in Financial Services

Your staff use scanners to capture new account forms, investment applications, commission statements – all your working and archival client records – into single or multiple Laserfiche databases. You can also import word processing, spreadsheet and other electronic documents with simple drag-and-drop actions. Optical Character Recognition (OCR) reads and indexes every word in your documents, enabling full-text searches of their contents.

Authorized personnel then search and retrieve documents instantly with Laserfiche's Intelligent Search. Users view, print and e-mail documents from their desktops. Documents may also be archived to CD/DVD or securely posted on an intranet or the Internet without HTML coding.

Comprehensive security measures protect your documents from unauthorized access. The Audit Trail module constantly monitors user activity. Documents published to disc can be accessed but not altered, fulfilling key SEC retention requirements 17a-3 and 17a-4 (as published under NASD notification 93-47). Compact digital backups can be stored securely and more cost-effectively off-site.

Consider the Cost of Responding to Client Requests:

- ▶ How much time is lost searching through file cabinets for the client's records?
- ▶ How long does it take to find the relevant information within the records?
- ▶ What are the labor costs for you and your staff?
- ▶ How long does the client wait for a response?
- ▶ How many other clients are kept waiting as you complete this process?

Now Consider Meeting Those Demands with Laserfiche:

- ▶ Instantly retrieve records from your desktop.
- ▶ Laserfiche highlights the exact information you need.
- ▶ Serve the client in minutes and move on to the next productive task.
- ▶ Serve more clients with existing resources.

"We saved a half day's worth of staff time when the compliance officer was here recently for an audit. We're finding things faster, and we're starting to look to Laserfiche more often to help us with our daily work. It is already a very worthwhile investment."

Tom Feenan, Founder,
Feenan Financial Group



Real-World Benefits from the Front Desk to the Corner Office

Simplify and Reduce the Costs of Compliance

Policies, procedures and staff – not technology – form the core of your compliance program. A document management solution must be secure enough to protect business records while being sufficiently flexible to support existing procedures. Laserfiche provides comprehensive access controls as well as 24/7 audit trail capabilities. A CD/DVD publishing tool allows records to be published to unalterable media, a key element of SEC record-keeping rules. The DoD-5015.2-certified Records Management Edition provides you with peace of mind because it has been evaluated against rigorous standards.

- ▶ Reduce the paper storage burden of complying with SEC, NASD, Sarbanes-Oxley, USA PATRIOT Act and other record-keeping-related regulations.
- ▶ Set records in time and protect them from unauthorized access.
- ▶ Expedite audits by easily producing records on demand.
- ▶ Safeguard client privacy and inspire customer confidence.



Recover Lost Productivity

The Laserfiche Intelligent Search retrieves documents instantly with full-text and index field searches. Customizable index fields allow you to organize files by client name, account number, application date – whatever information is appropriate. Your staff lose fewer productive hours looking for documents while you gain time to use the information. Your documents remain immediately accessible when you need to make decisions, respond to clients or compile records for an audit.

- ▶ Locate documents on demand with Laserfiche Intelligent Search.
- ▶ Unlock document contents with full-text searches.
- ▶ Emulate existing filing structures with customizable folders and index fields.
- ▶ Reduce clerical labor and mistakes with automated OCR and indexing.
- ▶ Encourage fast staff acceptance with an intuitive, familiar interface.

Reclaim Office Space for Productive Activities

A dynamic business creates bulging file cabinets. With Laserfiche, you store exact digital copies of your documents on unalterable media. You can reclaim office area consumed by paper, cut the cost of in-house and off-site storage and service more clients without leasing more expensive space.

- ▶ Use more of your office space for revenue-generating activities.
- ▶ Reduce storage space needs with a variety of digital media options.
- ▶ Destroy or remove original paper documents.
- ▶ Reduce the burden of storing records according to regulatory mandates.

Improve Communication with Staff, Reps and Clients

Field personnel and branch offices need constant, simultaneous access to up-to-date business information.

Clients expect instant access to statements, reports and forms via the Internet. Laserfiche provides immediate, economical document distribution via CD, e-mail, your intranet and the Internet to satisfy these demands of doing business. Clients get what they want, staff get what they need, and everyone gets the added benefits of reduced labor, copying and mailing costs.

- ▶ Authorized staff instantly access documents using your internal network.
- ▶ Send information around the world with e-mail document distribution.
- ▶ Distribute documents on CD to field offices, compliance officials and independent third parties.
- ▶ Provide online document access securely and cost-effectively with Laserfiche WebLink™.

Enhance Business Continuity and Disaster Recovery Planning

Paper is a vulnerable archival medium. Fire, flood and theft threaten the integrity of paper archives. Duplicating paper documents for off-site storage is an expensive, time-consuming process.

Digital archiving with Laserfiche simplifies disaster preparation and recovery and assures the long-term accessibility of critical information.

- ▶ Store entire document repositories on durable CDs.
- ▶ Built-in search and viewing capabilities on each disc provide document access even if your network is down.
- ▶ Non-proprietary TIFF and ASCII file formats maintain future accessibility.
- ▶ Cut photocopying, transportation and off-site storage costs for backup files.

Preserve Technology Investments and Add Value to Existing Systems

Laserfiche is a proven solution that expands to meet your business needs. Laserfiche also integrates seamlessly with systems you currently use. The combination of scalability and easy integration preserves existing IT investments while guaranteeing the long-term utility of your Laserfiche solution. More than 21,000 organizations worldwide already benefit from these Laserfiche advantages.

- ▶ An open architecture promotes integration with Advisors Assistant™, Laser App™, Quik!™ and other practice management, CRM and portfolio management applications.
- ▶ Document management integration provides access to supporting documents from within other applications.
- ▶ Scalability allows your document management solution to grow with your needs.
- ▶ Support for industry-standard Microsoft® SQL Server™ and Oracle® database platforms simplifies integration and system expansion.



"We are very serious about making sure that all of our resources are aimed towards building our clients' portfolios. We chose Laserfiche because we were able to mold it to our client-first mission without any interruptions or added costs."

Richard T. Hill, President,
Halbert, Hargrove/Russell, LLC

About Laserfiche

Laserfiche Product Suite

Laserfiche Document Management Platform

These core products help you organize, protect and retrieve information.

Laserfiche United™ and Laserfiche Team™
Laserfiche Records Management Edition™
Laserfiche Web Access™

Document and Information Capture

These tools bring paper and electronic documents into your digital system.

Laserfiche Quick Fields™
Laserfiche Import Agent™
Laserfiche Snapshot™

Document Distribution

Provide secure, efficient document access to users across the office and around the world.

Laserfiche WebLink™
Laserfiche Plus™
Laserfiche E-mail Plug-in™
Laserfiche COLD™

Business Process Management

Streamline document-centered processes and track activity for regulatory compliance.

Laserfiche Workflow Suite™
Laserfiche Agenda Manager™
Laserfiche Audit Trail™

Integration and Customization

Tools and packaged solutions facilitate image enabling and back-end integrations.

Laserfiche Integrator's Toolkit™
Integration Express™
Integration Express-GIS™

Software Assurance

Manage change and protect your investment.

Laserfiche Software Assurance Plans (LSAP™)

About Laserfiche Solutions

A resource for over 21,000 organizations since 1987, Laserfiche creates elegant document management solutions that help organizations run smarter. Dedication to customer-driven innovations has built a suite of products and services that address organization-wide business problems from executive, records management, information technology and end-user perspectives. Laserfiche manages mission-critical information in local, state and federal agencies; financial services firms; healthcare organizations; educational institutions; and other public- and private-sector organizations around the world.

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Your Next Step

Call (800) 985-8533 to arrange a demonstration. Also e-mail info@laserfiche.com or visit www.laserfiche.com/fs for more product details or to request your free Laserfiche demo CD.

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