

## Clear Your Path



### The Competitive Advantages of a Clean Line of Sight

Financial services institutions (FSIs) must constantly find new ways to thrive in a competitive, multi-regulatory environment. Laserfiche® document management solutions support straight-through processing while cutting the costs of compliance and ensuring greater security, privacy, transparency and accountability at every level of your organization. Laserfiche solutions provide operational benefits that transform compliance from a cost center into an opportunity for achieving greater competitive advantage.

#### Learn More Inside

- ▶ Promote Efficient Processes
- ▶ Simplify Compliance while Ensuring Accountability
- ▶ Minimize Paper-Handling Overhead
- ▶ Deploy Rapidly and Reduce Your Application Support Burden
- ▶ Provide Supporting Business Infrastructure for Reps



# Transform Compliance into an Opportunity for Process Improvements



Reconciling opposing necessities—facing compliance and competitive pressures, delivering fast service while safeguarding customer privacy—is a prerequisite for success. A comprehensive solution must establish a clear line of sight from the CEO to the transaction level, effectively managing the flow of information across the divide between field reps and corporate HQ.

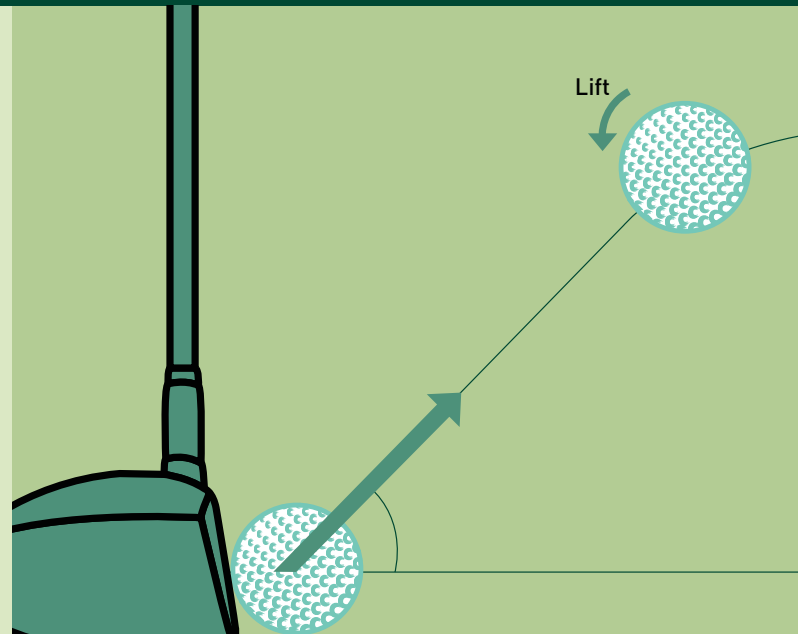
Laserfiche® document management solutions power a holistic approach to compliance and record keeping, allowing not only greater transparency and accountability, but also organization-wide efficiency that strengthens your competitive stance. A straight-through processing foundation, Laserfiche software streamlines information collection and management, from document capture at the point of creation to long-term records retention.

Field reps begin to realize profitability benefits immediately upon deployment. They respond to client information requests faster, simplify third-party storage and enjoy smoother communications with the broker-dealer. Simple reductions in paper storage and office space overhead also contribute to a more robust bottom line.

At the home office, the Laserfiche repository collects records for centralized processing while providing appropriate access to advisors. Comprehensive security logs user activity and prevents unauthorized use of client information. DoD-5015.2-certified records management tools support the consistent application of compliance procedures and extend controls to the entire information lifecycle.

“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 Advantages Summary

- ▶ Accelerate transaction approvals by enabling straight-through processing, distributed capture and other business process improvements.
- ▶ Eliminate the costly physical transport of transaction forms between financial advisors and the home office.
- ▶ Minimize the delays between steps in business procedures with workflow solutions.
- ▶ Simplify compliance with SEC, NASD and other mandates.
- ▶ Protect client and transaction records with comprehensive security, including word-level redaction and records freezing capabilities.
- ▶ Use audit trails to provide complete accountability and transparency organization-wide.
- ▶ Accommodate your preferred business procedures through an intuitive visual interface and integrations with CRM and other business-critical applications.
- ▶ Provide financial advisors in the field with information management tools to help them succeed.

## Benefits by Role and Responsibility

### Management

Laserfiche solutions support straight-through processing, helping you realize a competitive advantage by speeding up business operations and reducing paper-related overhead. The result is a leaner organization focused on revenue-generating activities. Laserfiche also promotes transparency and accountability throughout your enterprise, facilitating risk management and limiting exposure to criminal and civil liability.

### Compliance Officers

The Laserfiche DoD-5015.2-STD-certified Records Management Edition™ enables the consistent application of records procedures in keeping with SEC, NASD, Sarbanes-Oxley, USA PATRIOT Act and other mandates. Laserfiche solutions reduce the cost of compliance while providing comprehensive security to protect records and audit trail features to monitor all user activity in the archive.

### IT

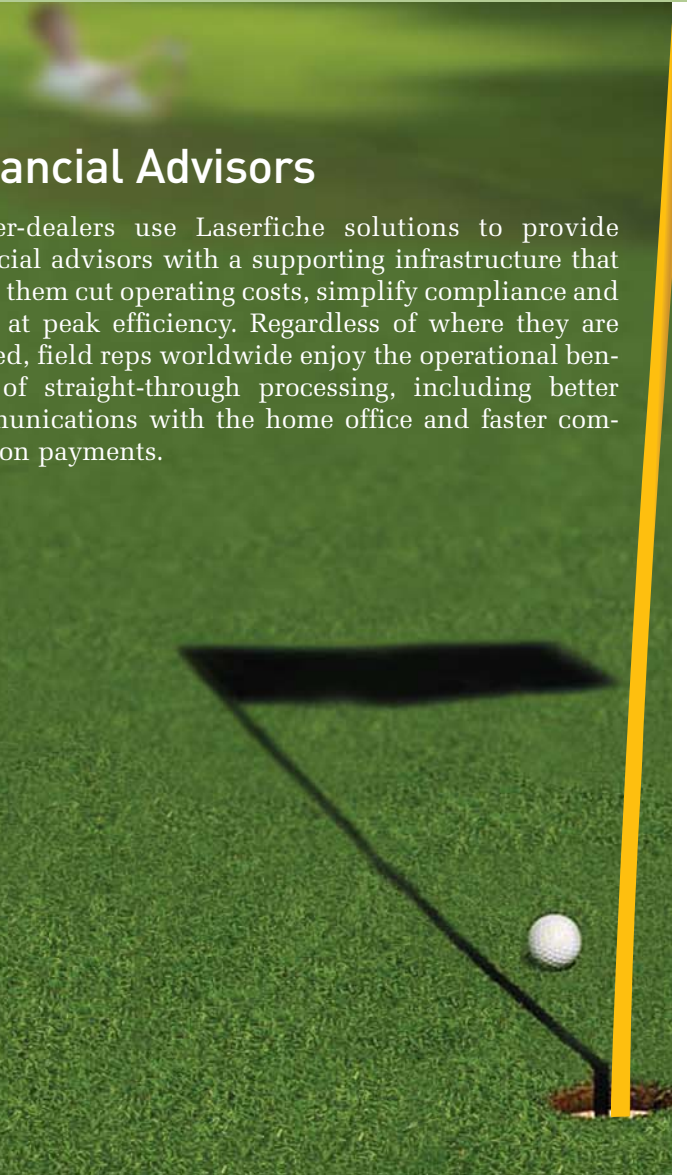
Laserfiche solutions allow you to administer your document repository from a central server while implementing distributed capture in field offices. Laserfiche is built on an open architecture that integrates seamlessly with your existing infrastructure and scales to accommodate business expansion. The secure, Web-based Laserfiche thin clients allow you to deploy instantly organization-wide and minimize your support burden.

### Operations

Authorized users throughout your organization enjoy immediate access to client and transaction records, allowing them to work together more effectively and deliver better customer service. Laserfiche solutions eliminate redundant, labor-intensive manual processes, and workflow automatically routes new account forms and other records for rapid transaction approval and exception processing. In addition, Laserfiche integrates with practice management, CRM and portfolio management applications to eliminate software and work process redundancies—helping you design business operations for maximum efficiency.

### Financial Advisors

Broker-dealers use Laserfiche solutions to provide financial advisors with a supporting infrastructure that helps them cut operating costs, simplify compliance and work at peak efficiency. Regardless of where they are located, field reps worldwide enjoy the operational benefits of straight-through processing, including better communications with the home office and faster commission payments.





# Build a Foundation for End-to-End Information Management

## Content Creation and Capture



1. Generate necessary forms from electronic forms library and populate them with information from the CRM application.



2. Validate information for compliance and submit electronic form signatures.

3. Capture all additional documentation, including paper, faxes, e-mail and Web content and convert it to a standardized format for long-term retention.



4. Collect all documents in the home office repository for centralized processing, regardless of how they were created. Automatically file and index documents according to a predefined file plan.

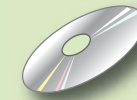
## Field Office System



1. Find information faster and respond to client requests quickly.



2. Provide appropriate documents and data to customers immediately via e-mail.

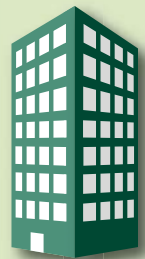


3. Eliminate the need to store physical records through archival to non-volatile media (SEC 17a-3 and 17a-4).



4. Enable the display of information in context via a fully integrated system and dashboard interface.

## Home Office System



3. Generate order tickets and submit transactions electronically.

4. Issue confirmations and fund statements electronically.

1. Complete transaction validations and approvals electronically.

2. Log all activities, including electronic transfers, and update electronic blotter.



5. Enable remote audits and reduce the amount of time spent fulfilling requests from outside auditors.

6. Realize cost savings while ensuring compliance through a holistic approach to transaction processing and information management.



Reduce the overhead costs of managing and processing information with the automated capture and filing of all documents, including new account, disclosure and authorization forms.

Field offices provide better service and operate more efficiently with a fully integrated system.

Standard operating procedures enforce privacy, security and accountability to protect customer information.

Provide transparency with auditing activities throughout the records lifecycle, from the point of creation to expungement.

# Operational Benefits

## Promote Efficient Processes

Laserfiche solutions enable financial services institutions to eliminate the time lags and redundancies of manual transaction processing. Authorized users in the home office, branch offices and the field share client forms and records instantly to ensure seamless transaction processing and reduce the costs of managing information.

- ▶ Capture paper or electronic account forms and client documentation from the field and automatically index documents for rapid retrieval.
- ▶ Reduce manual data entry by automatically populating electronic forms with customer data from CRM applications.
- ▶ Provide timely customer and transaction information to authorized decision makers.
- ▶ Streamline business processes with workflow solutions that automatically route documents and provide e-mail notifications.
- ▶ Accelerate trade settlements with electronic transaction approval and centralized exception processing.
- ▶ Encourage fast staff acceptance and enable rapid return on investment with the easy-to-learn, easy-to-use Laserfiche interface.

## Simplify Compliance while Ensuring Accountability

Laserfiche document management and DoD-5015.2-certified records management solutions improve the bottom line and help you implement consistent retention procedures to enforce compliance in an evolving regulatory environment. Laserfiche solutions protect business records with comprehensive security while providing 24-7 audit trail capabilities and reporting tools.

- ▶ Publish records to unalterable media for compliance with SEC record-keeping rules.
- ▶ Set records in time and protect them from unauthorized access.
- ▶ Expedite audits by producing records on demand.
- ▶ Monitor all user activity in the archive to provide transparency and accountability throughout your enterprise.

## Minimize Paper-Handling Overhead

A thriving FSI generates filing cabinets full of paper at every level of the organization. Paper records consume additional staff time and office space for storage, processing and compliance-related activities. Laserfiche solutions reduce the costs of paper-based, manual business processes.

- ▶ Reclaim office space and staff time—from the field to branch offices and the home office—to focus on revenue-generating activities.
- ▶ Empower your staff to find client and transaction records quickly with Laserfiche intelligent search capabilities.
- ▶ Eliminate the need to duplicate paper forms and supporting documents and physically transport them between financial advisors and the home office.
- ▶ Reduce storage needs with a variety of electronic and digital media options.

## Deploy Rapidly and Reduce Your Application Support Burden

Laserfiche solutions are engineered for rapid deployment, scaling up to meet your business needs. FSIs can store transaction records on a central server in the home office, conserving IT resources and minimizing software maintenance. In addition, the network-friendly, single-page TIFF image format allows you to manage bandwidth usage effectively. Laserfiche solutions integrate easily with practice management, CRM and portfolio management applications.

- ▶ Add new users instantly without installing additional software by taking advantage of secure, Web-based thin-client options.
- ▶ Ensure long-term document accessibility with non-proprietary, ASCII text and TIFF image formats.
- ▶ Simplify security administration by configuring access rights and privileges according to document types and user groups.

## Provide Supporting Business Infrastructure for Reps

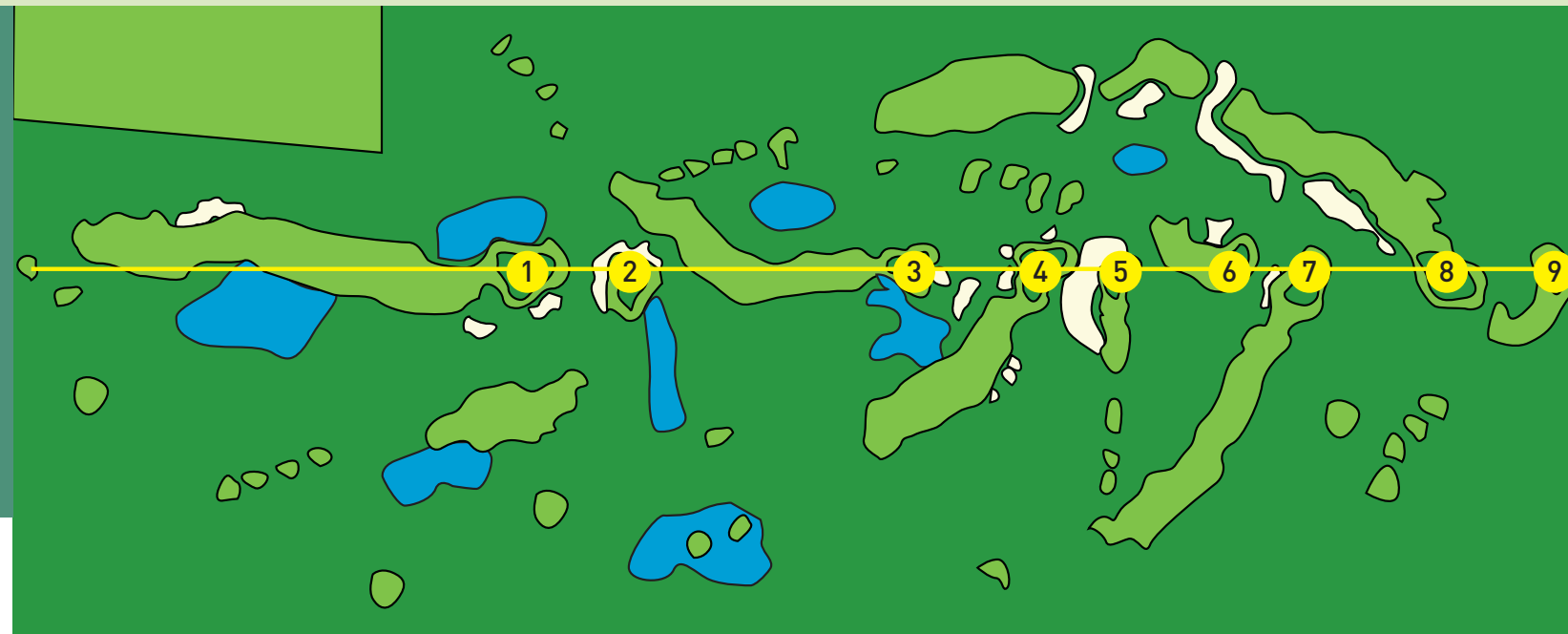
When choosing business partners, financial advisors consider how well broker-dealer organizations help them succeed. Broker-dealers use Laserfiche document management solutions to help financial advisors accelerate business processes, simplify regulatory compliance and build a loyal client base.

- ▶ Extend the operational benefits of straight-through processing throughout your financial advisor network.
- ▶ Help advisors reduce their operating expenses and focus on revenue-generating activities.
- ▶ Enable new branch offices to get up and running quickly with the Web-based Laserfiche thin clients.
- ▶ Provide field reps with secure, 24-7 access to business-critical information.



"We rolled out Laserfiche to 50 branch offices, integrated it with our business model and dramatically cut costs throughout our organization in 90 days. We accommodated all of the different scanners, MFPs and business infrastructure that our reps had in the field, and now our advisors get all the information they need to take care of their customers."

Dean Rager, CIO/COO  
Geneos Wealth Management



# 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™  
Integration Express-HTE™

### 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 simple and elegant document management solutions that help organizations run smarter. Dedication to customer-driven innovation 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; health-care organizations; educational institutions; and other public- and private-sector organizations around the world.

## Your Next Step

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

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