

Paper and Your Bottom Line

The Business Cost of Paper

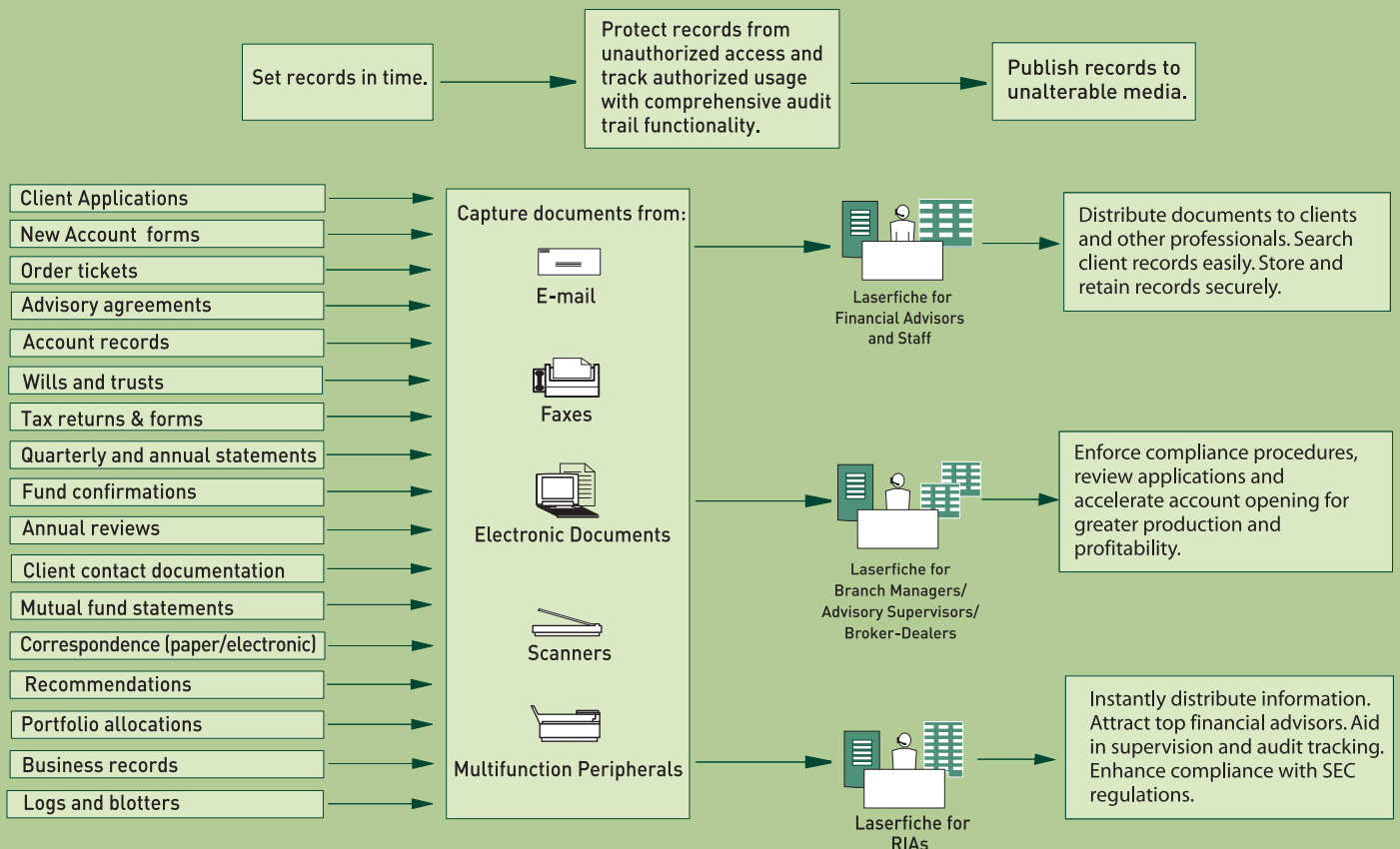
- ▶ Productivity and time lost searching for files.
- ▶ Lost and misplaced documents.
- ▶ Mailing and faxing documents to clients and supervisors.
- ▶ Labor-intensive archiving of physical records.
- ▶ Expensive physical storage space.
- ▶ Document storage and retrieval mandated by multiple regulations.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

The Laserfiche Potential

- ▶ Retrieve documents and locate information instantly.
- ▶ Securely store documents and prevent misfiling.
- ▶ Distribute documents quickly and economically via CD, Web or e-mail.
- ▶ Archive documents digitally and securely.
- ▶ Reclaim the space currently needed to store paper documents.
- ▶ Streamline compliance processes.
- ▶ Access files simultaneously from multiple locations.
- ▶ Reduce costs and increase profits while serving clients more effectively.

Efficiency, Profitability and Exceptional Client Service

Enforce Compliance Processes at Every Step



Laserfiche at Work with Financial Advisors

With Laserfiche, you and your staff don't have to learn a new way to work. You work as you always have, except your records are securely stored in a repository on a server rather than in file cabinets.

Your staff members use scanners to capture financial plans, new account forms, investment applications, client correspondence and statements – all your working and archival client records – into a single or multiple Laserfiche repositories. You can also import word processing, spreadsheet and other electronic documents with simple, drag-and-drop actions. Optical Character Recognition (OCR) technology reads and indexes every word in your documents, enabling full-text searches of their contents – even if you don't know the exact spelling.

Authorized personnel can then search and retrieve documents instantly with Laserfiche's Intelligent Search capabilities. Users view, print and e-mail documents from their desktops, speeding response to requests for information from clients, their attorneys and tax professionals, supervisory staff or others. Documents may also be archived to CD/DVD or securely posted on an intranet or the Internet without HTML coding. You can easily allow clients or offsite advisors to view records over a secure Internet connection.

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 FINRA notification 93-47). Compact digital backups can be stored securely and more cost-effectively off-site. Facilitate response to audits, easily assure compliance with multiple FINRA and SEC regulations, speed workflow processing and order approval and track how efficiently your staff is working, all from one easy-to-operate interface.

"We saved a half day's worth of staff time when the compliance officer from NPC 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



Consider the Cost of Responding to Client Requests:

- ▶ How much time do you lose searching through file cabinets for records?
- ▶ How long does it take to locate the relevant information in each record?
- ▶ How long does the client wait for a response?
- ▶ How many other clients are left waiting while you complete these tasks?

Now Consider Meeting Those Demands with Laserfiche:

- ▶ Retrieve records instantly, without leaving your desk.
- ▶ Locate the exact information you need quickly.
- ▶ Provide prompt responses to client inquiries.
- ▶ Serve more clients, without hiring more staff.

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

Simplify and Reduce the Costs of Compliance

The core of your compliance program isn't technology, it's the policies, procedures and people you work with daily. A document management solution can't automatically make you compliant, but it can ease the burden of complying with increasingly stringent multi-regulatory rules and retention requirements. Laserfiche is certified by the highest possible standard in records management, the Department of Defense. The DoD 5015.2 certified Records Management Edition™ provides you with the tools you need to:

- ▶ Reduce the storage burden of complying with record-keeping regulations such as SEC Rules 17a-3 and 17a-4, FINRA rules 3010 and 3020, Sarbanes-Oxley and the USA PATRIOT Act.
- ▶ Publish time-dated records to unalterable media, a key element of SEC recordkeeping rules.
- ▶ Constantly monitor document access and retrieval with Audit Trail's comprehensive controls.
- ▶ Comply with SEC and FINRA document retention and destruction regulations.
- ▶ Ease compliance with business continuity directives.
- ▶ Expedite audits by easily and quickly producing records on demand.
- ▶ Safeguard client privacy and inspire customer confidence.

Improve Communication with Advisors, Staff and Supervisors

If you supervise advisors working in satellite or home offices or have to report to another office, you know that constant, simultaneous access to up-to-date business information is critical. 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 and staff gets what they need, while everyone gets the added benefits of reduced labor, copying and mailing costs.

- ▶ Access documents instantly and simultaneously using your internal network.
- ▶ Increase productivity for advisors or staff working from their home offices.
- ▶ Send information where it needs to be, whether it's down the street or across the globe, using e-mail document distribution.
- ▶ Distribute documents on CD to satellite offices, compliance officials and independent third parties.
- ▶ Provide online document access securely and cost-effectively with Laserfiche WebLink™.
- ▶ Facilitate supervisory compliance with "know your customer," money laundering and suitability guidelines.



"At our last audit, we provided auditors with 80,000 pages of documents—six months' worth of correspondence—on one CD. In years past, we had to box and send them. It took about an hour to gather the 80,000 pages to create the CD. Before it meant weeks and weeks of staff time."

Dean Rager, CIO,
Geneos Wealth Management

Achieve a Rapid Return on Investment

How Can Laserfiche Help Your Practice Run More Efficiently?

- ▶ Realize a profit increase of **41.2%** for a small firm, **55.9%** for a medium firm or **40.7%** for a large firm.
- ▶ Increase your business value by **\$216,000** for a small firm, **\$626,000** for a medium firm or **\$3,421,000** for a large firm.
- ▶ Save **8%** of annual overhead costs, up to **\$342,000** for a large firm.
- ▶ Help your staff work more efficiently by cutting time wasted on routine tasks, up to **1,500** hours for a small or medium firm or **6,000** hours for a large firm.

Source: ROI for RIAs, www.laserfiche.com/ria

Increase Business Value and Enhance Profitability

All of your day-to-day and year-to-year efforts to grow your business ultimately increase the value of your firm. While many firms have the same net revenue, the firm with the lowest overhead is more valuable. Reduced paper and storage costs, more efficient staff, less time spent on compliance and faster client service give your firm a strong competitive edge.

Increase business value by implementing a comprehensive digital document management system that streamlines daily work processes. Laserfiche supports efficiency while cutting the costs of compliance and ensuring greater security, privacy, transparency and accountability at every level of your organization. These benefits lead to more satisfied clients, more productive staff members, easier advisor recruitment and retention and, ultimately, more revenue.

- ▶ Reclaim office space currently used to store large volumes of paper, using more of your office space for revenue-generating activities.
- ▶ Cut the costs of in-house and off-site storage.
- ▶ Speed routine tasks and spend your time doing what you do best – serving clients.
- ▶ Use your staff's time more productively with automated filing and faster information searches.
- ▶ Increase advisor recruitment and retention with sophisticated, time-saving technology.
- ▶ Ensure a smooth transition for business transfer and succession planning with easily organized and transferred client records.

“While we haven’t put an actual dollar figure on the value of the Laserfiche system and what it does for us, we do know that in terms of scaling upon existing infrastructure, back office efficiencies and the lack of filing storage—it is has to be in the range of tens of thousands of dollars per month.”

J.C. Abusaid, Chief Operating Officer,
Halbert Hargrove Investment Counsel



Enhance Business Continuity Planning



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

Industry regulators do expect advisors to have considered disaster recovery and business continuity planning issues, including the possibility of a future significant business disruption and how to access systems and replace files in case of a disaster.

Digital archiving with Laserfiche eases compliance with this directive by simplifying disaster preparation and recovery and assuring the long-term accessibility of critical information. Easily provide your response to scenarios of varying severity (from firm-only to nationwide), enhance your ability to continue operating during an emergency or disaster and speed your response time to any disaster.

- ▶ Assure data back-up and recovery and maintain client contact information outside of the office.
- ▶ Create backup duplicate copies of your records in accordance with SEC Rule 17a-4(3)(iii).
- ▶ Store entire document repositories on durable CDs, which can be easily stored in a secure, off-site location.
- ▶ Provide document access, even if your network is down or destroyed, with built-in search and viewing capabilities on each disc, easing compliance with SEC Rule 17a-4(3)(iv).
- ▶ Maintain future accessibility with the non-proprietary TIFF file format.
- ▶ Cut photocopying, transportation and off-site storage costs for backup and dead files.
- ▶ Comply with FINRA Rules 3510 and 3520 requiring member firms to establish business continuity plans detailing emergency preparedness procedures.

Realize Daily Benefits

Add Value to Existing Technology Investments

Laserfiche, a proven solution that expands to meet your business needs, integrates seamlessly with your practice's existing applications. This combination of scalability and easy integration enhances existing IT investments while guaranteeing the long-term utility of your Laserfiche solution. More than 25,000 organizations worldwide, including over 3,100 financial advisors, already benefit from these advantages.


- ▶ Leverage Laserfiche's open architecture to easily develop integrations with any non-proprietary software, providing information on demand and document collaboration and movement capabilities.
- ▶ Promote image-enabling integration with Goldmine™, Junxure™, Advisors Assistant™, Laser App™, Quik!™ and other practice management, CRM and portfolio management applications.
- ▶ Provide access to supporting documents from within other applications with document management integration.
- ▶ Simplify integration and system expansion with support for industry-standard Microsoft® SQL Server™ and Oracle® database platforms.

Regain Lost Productivity

Imagine being able to locate any information on demand, while your clients are on the phone, rather than having to put them on hold and search through your files, then come up empty and have to call them back when you've finally found the information you need. With Laserfiche, you can retrieve documents and locate information instantly, satisfying your clients with the information they need and the service they want right when they call, the first time they call.

Laserfiche's Intelligent Search™ capability retrieves documents instantly with full-text and template field searches. Using customizable template fields, you can organize your electronic files the same way as your paper files: by client name, account number or application date, whichever suits your business best. Your staff spends less time looking for documents while you gain time to use the information they discover. Your documents remain immediately accessible so you can make decisions more efficiently, respond to clients' requests more quickly and compile records for an audit more easily.

- ▶ Encourage rapid staff acceptance with intuitive search and retrieval features.
- ▶ Reproduce your existing file structure with customizable folders and template fields.
- ▶ Reduce mistakes and misfiled documents with automated OCR and indexing.
- ▶ Search by client name, security name, account type or hundreds of other easily customizable template fields.
- ▶ Utilize Advanced Search Boolean operators to make any search, no matter how complicated, simple to execute.
- ▶ Access the same document from multiple workstations, regardless of how many people are viewing it.
- ▶ Store, search and secure business-critical records like blotters, affiliated persons records and correspondence files.



"Laserfiche offered us the greatest flexibility to work like we always had, only using electronic files instead of paper. Once you have your documents in Laserfiche, your productivity soars."

Blake Woodard, Managing Partner,
Woodard Insurance, LLP

About Laserfiche

Laserfiche Product Suite

Laserfiche Enterprise Content Management
Implement a scalable and flexible ECM solution.

Laserfiche Rio™

Laserfiche Document Management
Organize, protect and retrieve information.

Laserfiche Avante™
Laserfiche Team™
Laserfiche United™

Laserfiche Records Management
Guarantee document integrity with DoD 5015.2-certified transparent records management.

Laserfiche Records Management Edition™

Document and Information Capture
Bring paper and electronic documents into Laserfiche.

Laserfiche Quick Fields™
Laserfiche Import Agent™
Laserfiche Snapshot™

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

Laserfiche Workflow™
Laserfiche Agenda Manager™
Laserfiche Agenda Processor™
Laserfiche Audit Trail™

Document Access and Distribution
Provide secure document access to users.

Laserfiche Web Access™
Laserfiche WebLink™
Laserfiche Plus™
Laserfiche E-Mail Plug-in™

Integration and Customization
Integrate Laserfiche with third-party applications and customize system functionality.

Laserfiche Toolkit™
Laserfiche Marketplace™
Laserfiche Code Library™

Support
Manage change and protect your investment.

Laserfiche Software Assurance Plans (LSAP™)

About Laserfiche Solutions

Laserfiche creates simple and elegant document management solutions that help organizations run smarter. Since 1987, more than 25,000 organizations—including numerous registered investment advisors, financial advisors and broker-dealers worldwide—have used Laserfiche software to streamline processes for managing documents, records and workflow. By digitizing paper archives, Laserfiche enables users to instantly pinpoint the information they need, to collaborate more effectively and to complete daily tasks more efficiently. Secure Web access allows organizations to share information with remote offices, business partners and customers, while user- and role-based security options ensure compliance with government- and industry-mandated standards, including Department of Defense (DoD) standard 5015.2.

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Your Next Step

To learn more, call (800) 985-8533 to arrange a demonstration or visit www.laserfiche.com/fs for more product details or to request your free Laserfiche demonstration CD.

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Avante™

Transform Your Organization with Business Process Management

- Start with a feature-rich system that perfectly meets your needs
- Integrate information into your daily business processes
- Simplify purchasing with named-user licensing
- Outfit your entire organization without sacrificing functionality
- Deploy quickly and maximize return on investment

An organization's success is closely related to the efficiency of its daily workflow—but too many organizations continue to rely on outdated, manual business processes. It's more important than ever to streamline operations and help staff focus more of their time on revenue-generating activities.

Laserfiche Avante is a complete solution that helps you use your information most effectively. Designed for departments and small- to mid-size organizations, Avante helps you capture, manage, distribute and work with information in diverse working environments.

Whether you have 1, 10 or 100 employees, Avante provides a document management system with fully integrated business process management. More than static archival, Avante provides powerful tools for automating and optimizing business processes organization-wide. With powerful Workflow functionality, your organization moves beyond simple document routing to automate everyday tasks, optimize business processes and share information with a wide variety of applications.

Avante at a Glance

- Named user licenses include document management, Workflow™, Snapshot™ and e-mail functionality, all for \$500 per license.
- Servers are sold individually and support industry-standard Microsoft® and Oracle® database platforms which maximizes the value of your current IT investments.
- Easily expand your system with additional functionality available for a percentage of the cost of total named user licenses.
- Add transparent records management on a per-server basis.
- Seamless integration with Office® applications enables users to send files to Laserfiche at the click of a button, while support for a wide range of both standard and specialized scanners allows users to rapidly digitize paper documents, as well as legacy microfilm and microfiche.

Integrate information into your daily business processes

Avante is a comprehensive solution that helps you use information more effectively. With your Avante system, you easily capture, store and distribute content of any kind, resulting in more efficient business processes and greater productivity.

With the included Workflow module, supporting efficient business processes becomes simple. Workflow provides an intuitive interface to model your current work processes and transform them into digital workflows. Each workflow can involve as many steps as you need, and you can trigger a workflow at any stage in a document's life cycle. And because Workflow is built on the Windows Workflow Foundation, you can extend its functionality to all your line-of-business applications.

Simplify purchasing with named-user licensing

Avante licensing is based on the number of people who will be using the system—which makes it possible to calculate the cost of most systems by doing little more than counting your employees. Because Avante easily scales to accommodate new users and high-volume repository growth, you quickly adapt to changing business conditions—without creating extra work for your IT staff.

Each named user license is assigned to an individual staff member who is always able to access their information. Because user licenses are linked to Windows Active Directory® accounts, there is no need for users to remember an additional username and password. Instead, users are automatically authenticated into the Avante system with their Active Directory credentials. And because each license includes document management, business process management, archival and e-mail functionality, new users can immediately participate in business processes.

Outfit your entire organization without sacrificing functionality

With Avante, you start with a feature-rich system that perfectly meets your needs. Integrated business process management helps you move beyond static document storage to integrate information into every step of your business processes. And available add-ons—including Audit Trail functionality and Web-based document management—are available for a percentage of total named user license costs, so you customize functionality to perfectly meet your needs.

When your system grows large enough, you can easily upgrade to Laserfiche Rio™ enterprise content management—including unlimited Laserfiche servers and repositories, Web-based document management and Audit Trail tracking—so you'll never outgrow your Laserfiche solution.

Deploy quickly and maximize return on investment

Avante readily fits into your existing networked environment, without requiring custom programming or extensive hardware and software updates. The entire system is compatible with Windows XP, 2003, 2008 and Vista™, and supports Microsoft SQL Express®, SQL Server® and Oracle database management systems.

Avante is built on a Microsoft platform and uses Microsoft-standard tools, including Microsoft Management Console (MMC) snap-ins, Windows Management Instrumentation (WMI) and the .NET framework, to simplify system administration. To simplify firewall configuration, Avante uses the HTTP/WebDAV communication protocol, which also optimizes performance over wide area networks. And perhaps most importantly, Avante unites document management and business process management in a single seamless solution, so you minimize configuration requirements for your IT staff.

The Next Step: Please call (800) 985-8533 or e-mail info@laserfiche.com for more information.

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