



Laserfiche[®]

For Wealth Management Firms

**Drive Operational Excellence
Firm-Wide**

How Enterprise Content Management Serves Wealth Management

For today's wealth management firms, the paper-based operating model is too slow, cumbersome and expensive. Laserfiche provides a new operating model that automates and accelerates business processes.

With Laserfiche enterprise content management (ECM), wealth advisors can manage and process client information faster and more cost-effectively than ever before. Laserfiche solutions for wealth management offer an easy way to automate business processes that improves client service while maintaining compliance with FINRA, SEC and fiduciary recordkeeping rules.

“ Laserfiche has a solid grasp on the industry challenges faced by wealth management firms, and translates this expertise into configurations for small, mid-sized, or large firms. Laserfiche provides strong support for wealth-management specific business processes—from routing documents to automatically configuring new user accounts. ”

CEB TowerGroup

Enterprise Content Management Systems
Technology Analysis, CEB, 2015





Transform resource-intensive processes by configuring automated workflows to:

COMPLY WITH SEC, FINRA AND DOL FIDUCIARY POLICIES and track all client transactions and communication.

SIMPLIFY NEW ACCOUNT OPENING, COMPLIANCE DOCUMENT REVIEW AND MORE using electronic forms and digital approval.

ACCELERATE THE NIGO/ IGO REVIEW PROCESS by automatically routing documents to appropriate compliance officers.

IMPROVE DATA ACCURACY through integration with CRM and forms filling application for incoming client paperwork.

CUT FILING AND MAILROOM COSTS with a central, digital repository for all client documents.

STREAMLINE ADMINISTRATIVE WORK such as new accounting opening, blotter processing and wire payment requests, and more.

Key Functional Components of Laserfiche

BUSINESS PROCESS MANAGEMENT

Speed up Laserfiche deployment with configurable workflow templates and process automation designs

MULTI-CHANNEL CAPTURE

Digitize content from scanners, email, web forms, mobile devices and desktop applications

ELECTRONIC FORMS

Replace paper forms with easy-to-design, easy-to-use e-forms

LASERFICHE ECM

GOVERNANCE, RISK & COMPLIANCE

Bring control and transparency to your firm's operations with built-in security and compliance tools

DOCUMENT DISTRIBUTION

Expedite client service with instant, read-only document access online or with portal media

DOCUMENT MANAGEMENT

Search and retrieve documents to locate information with full text and advanced searches



Benefits of Laserfiche ECM

Simplify And Secure Information Access

Reduce the costs and delays of managing paperwork, document-intensive processes and incomplete or inaccurate data entry. With Laserfiche, you can:

- **Quickly and easily access, add and update information**, regardless of its file format.
- **Gain a single point of control** over all information assets, whether you're using your laptop, tablet or phone.
- **Remove the need for time-consuming, manual filing** by automatically indexing and archiving incoming paperwork with enterprise capture and classification tools.

Accelerate And Improve Client Service

Give your clients a more responsive and high-touch experience. With Laserfiche, your clients will be able to access, review and upload documents quickly, securely and conveniently.

- **Enable savvy clients to view documents** through an easy-to-navigate, easy-to-use public web portal that supports standard web browsers and can be viewed from a variety of mobile devices.
- **Use built-in digital signatures** to electronically sign documents on mobile devices.
- **Enable advisors to immediately respond to client requests for information or documents** without stepping away from the meeting.

“ Laserfiche is the center of our operations. We get eyes on the documents, and we can update the status with a click of a button. ”

James Simos

Co-Founder and Chief Operating Officer,
Infinity Financial Services

“ Laserfiche has been a breath of fresh air in making us more efficient. Without a system like Laserfiche in place, we wouldn't have been able to go through a recent SEC audit that we underwent. It really saved the day for us and made that so much easier. ”

Amy Flourry

Director of Operations,
Rehmann Financial



“ When you’re in a service business, and that service is dependent on the timeliness of information, the fact that everything’s at the fingertips of the advisor teams is priceless. ”

Ken Severud

Senior Vice President and
Chief Operating Officer,
Wealth Enhancement Group

Transform Regulatory Change Into A Competitive Advantage

Reduce the risk of FINRA and SEC violations by minimizing inefficient, costly and paper-based compliance procedures that complicate workflow.

Laserfiche is a DoD 5015.2- and VERS-certified records management system that enables you to:

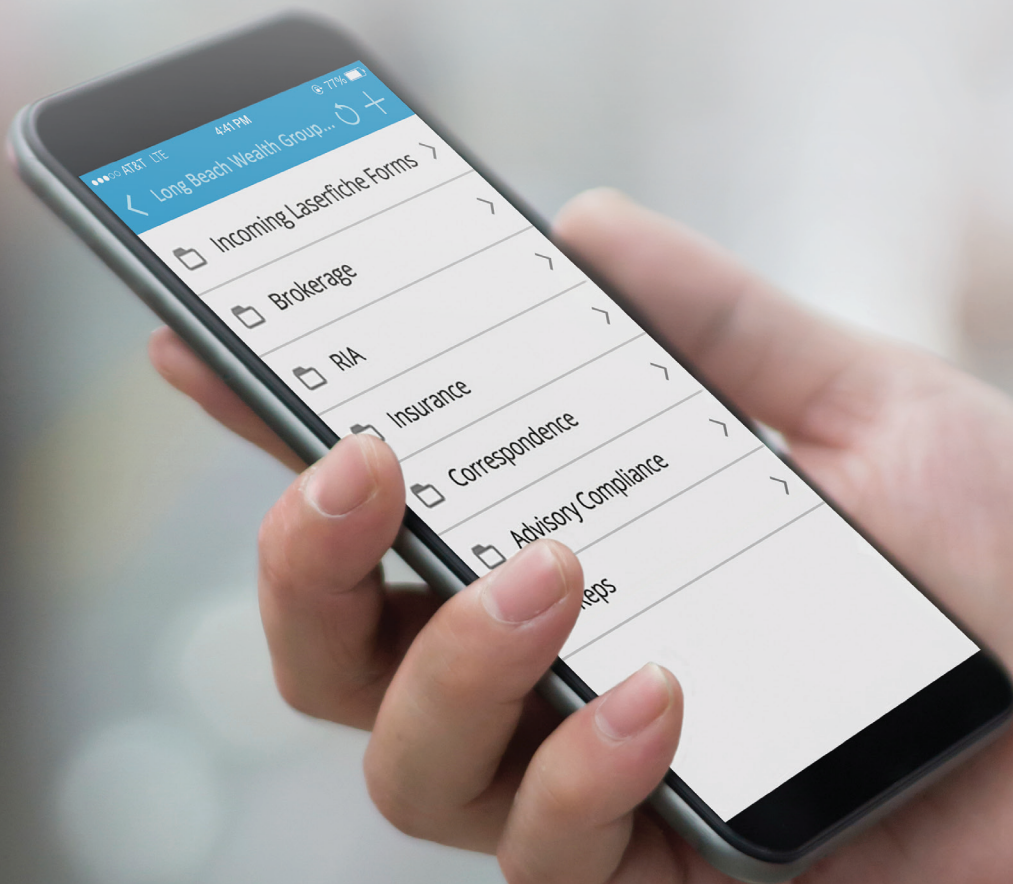
- **Simplify audits** by providing regulators with instant access to digital files.
- **Reduce the storage burden** of complying with FINRA and SEC recordkeeping regulations.
- **Minimize compliance risks** by supporting unalterable record retention and disposition.

Create A Technology Hub To Maximize Advisor Productivity

Laserfiche Connector creates a technology hub, integrating key financial applications without requiring any programming. This **code-free approach** is revolutionary for financial advisors who are increasingly dependent on a network of software—but who may lack the IT resources for integration.

With one click, information stored in Laserfiche is available from industry-standard platforms, quickly, easily and cost-effectively.

- Laser App®
- Junxure®
- Microsoft Dynamics®
- Redtail Technology
- Salesforce
- Smart Office™
- Microsoft Office®
- Microsoft SharePoint®
- DocuSign®
- SIGNiX
- And more



“ We were looking for a paperless system with efficient workflow, SEC and FINRA compliance and a strong integration capability. Laserfiche’s technology is not only the most flexible, but also offers numerous add-on features to meet compliance and audit requirements.

Through seamlessly integrating with DocuSign, Tamarac CRM and Laser App, Laserfiche allows new accounts to be opened in less than 30 minutes. ”

Barry Chapman

Director of IT,
Hanson McClain Advisors

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About Laserfiche

Laserfiche is a global software development company focused on Enterprise Content Management (ECM) and business process automation solution for highly regulated industries such as financial services, education, government and healthcare. Laserfiche transforms how wealth management firms manage information, automate document-driven business processes and meet compliance requirements cost effectively. Laserfiche provides intuitive solutions for capture, electronic forms, workflow, case management, cloud, mobile and government-certified records management. Since 1987, Laserfiche has been the trusted choice of more than 36,000 organizations worldwide.

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