

A Straight Shot **to the Green**

The Competitive Advantage of a Clean Line of Sight

Independent broker-dealers face the challenge of finding new ways to thrive in an ever more complex operational environment. With spiraling costs, increasing regulation and competitive pressures, the need for simplified, speedier business processes is imperative.

Laserfiche® enterprise content management solutions provide a solid infrastructure to strengthen your competitive stance—while ensuring security, transparency and accountability at every level of your organization.

Learn More Inside

- ▶ Increase Profitability
- ▶ Automate Enterprise Business Processes
- ▶ Reduce the Cost of Compliance
- ▶ Minimize Paper-Handling Overhead
- ▶ Improve Representative Recruitment and Retention

A Solution

to Manage Information Enterprise-Wide

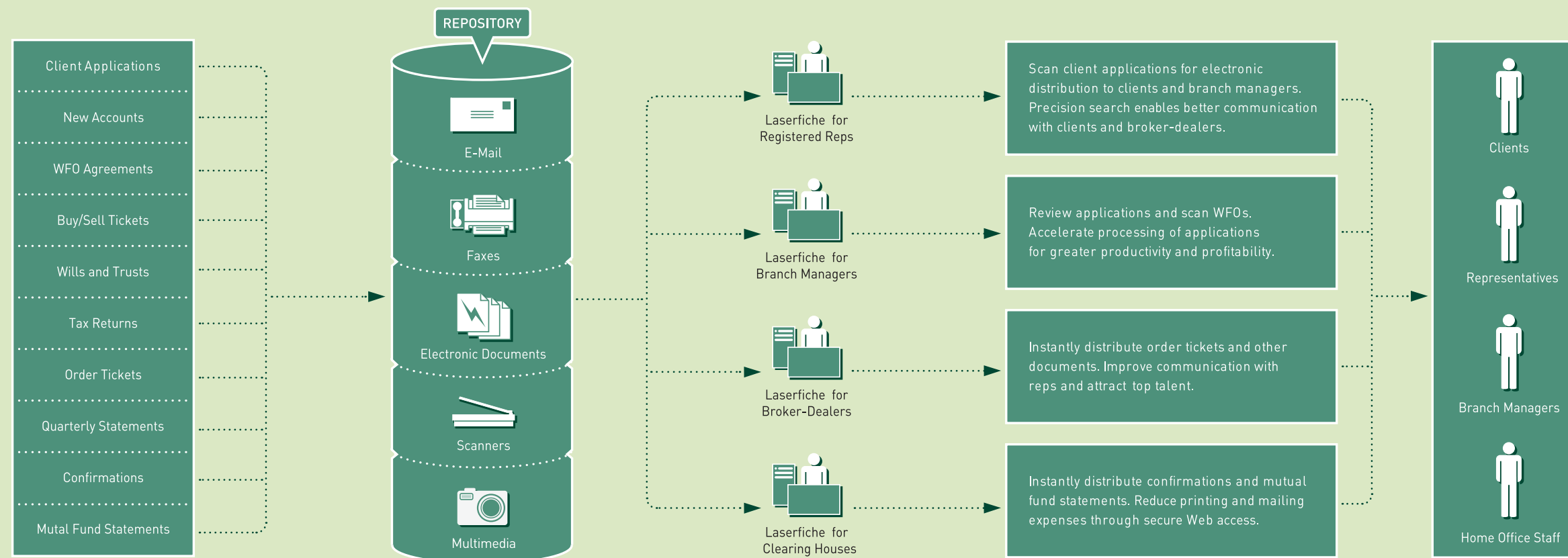
Your ability to reconcile the costs of compliance with the pressures of staying competitive and the demand for faster customer service while still safeguarding customer privacy can mean the difference between succeeding and merely surviving. A comprehensive solution must establish a clear line of sight from the CEO all the way to the transaction level, while effectively managing the flow of information across the divide between field representatives and the home office.

The Laserfiche system includes enterprise content management and DoD 5015.2-certified records management, both Windows® and Web-based interfaces, a customizable Web publishing portal, plus integrated workflow management and high-volume document capture and processing tools.

And Laserfiche scales to meet the needs of broker-dealers of all sizes, whether you support advisors and clients in a single state or all 50.

Enforce Compliance Processes at Every Step

[Set records in time.] ▶ [Protect records from unauthorized access and track authorized usage.] ▶ [Publish records to unalterable media.]



Laserfiche Advantages Summary

- ▶ Accelerate transaction approvals and minimize delays with workflow automation, distributed capture and other business process optimizations.
- ▶ Eliminate the costs of faxing and mailing applications, order tickets and transaction forms.
- ▶ Simplify compliance with SEC, FINRA and other mandates.
- ▶ Protect client and transaction records with comprehensive security.
- ▶ Use audit trails to provide complete accountability and transparency enterprise-wide.
- ▶ Integrate content management with your CRM system and other business-critical applications.
- ▶ Provide your financial advisors with the supporting business infrastructure to help them succeed.



No. 1 Iron



No. 2 Iron



No. 3 Iron



No. 4 Iron



No. 5 Iron



No. 6 Iron



No. 7 Iron



No. 8 Iron



No. 9 Iron



Pitching Wedge



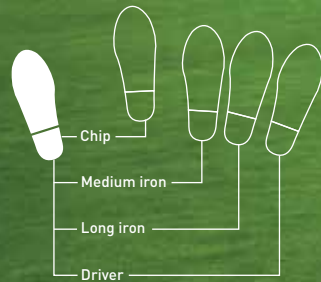
Sand Wedge



Putter

Benefits

by Role and Responsibility



“We rolled out Laserfiche to 50 branch offices, integrated it with our business model and **dramatically cut costs throughout our organization in 90 days**—while also accommodating all of the different scanners, MFPs and business infrastructure that our reps had in the field.”

Dean Rager / CIO/COO / Geneos Wealth Management

Executives

Laserfiche solutions support business process management improvements, helping you realize a competitive advantage by speeding operations, reducing paper-related overhead and improving representative recruitment and retention. The result? A leaner, more agile organization free to focus on revenue-generating activities. Laserfiche also promotes transparency and accountability enterprise-wide, facilitating risk management and limiting exposure to civil and criminal liability.

Compliance Officers

DoD 5015.2-certified Records Management Edition enables the consistent application of records retention requirements in compliance with SEC, FINRA, Sarbanes-Oxley, USA PATRIOT Act and other mandates. With workflow automation and Audit Trail monitoring of any and all user activities, Laserfiche solutions reduce the cost of compliance while providing the comprehensive security you need to protect both client and broker-dealer records.

Operations Staff

With immediate access to client and transaction records, field representatives and home office staff work together more effectively to deliver better, faster client service. Laserfiche Workflow automation eliminates redundant, labor-intensive manual processes by instantly routing new account forms and other documents for rapid transaction approval and exception processing. And Laserfiche integrates easily with existing practice management, CRM and portfolio management applications to eliminate software and work process redundancies—helping you design business operations for maximum efficiency.

Information Technology

With Laserfiche, you administer your content management infrastructure from a central location, while implementing distributed capture in field offices. Secure, Web-based thin-client options simplify support and enable instant deployment enterprise-wide. Laserfiche transmits document image files in a non-proprietary, single-page TIFF format to conserve bandwidth and ensure future accessibility. And its open architecture ensures that you can easily integrate content management with your existing IT infrastructure.

Build a Foundation

for End-to-End Information Management

Promote Efficient Processes

Laserfiche enables broker-dealers to eliminate the time lags and redundancies of manual transaction processing. Authorized users in the home office, branch offices and the field have instant access to client forms and records, ensuring seamless transaction processing, reducing the costs of managing information and improving collaboration.

- ▶ Utilize workflow technology to automate suitability approval and exception processing.
- ▶ Log all activities, including electronic transfers, and update electronic blotters.
- ▶ Extract data to automatically update your back office systems.
- ▶ Retain ultimate global control over document filing, retention and disposition, while providing field offices with flexibility to customize their filing structure and workflows.

Minimize Paper-Handling Overhead

A thriving broker-dealer generates filing cabinets full of paper, which consume staff time to manage and office space to store. Laserfiche solutions reduce the costs of paper-based, manual business processes from the Operations Department to the Compliance Office.

- ▶ Capture forms and documentation at the point of creation, eliminating the need to duplicate paper documents and fax or mail them to the home office for processing.
- ▶ Complete transaction validations and approvals, generate order tickets and submit transactions, and issue confirmations and statements electronically.
- ▶ Enable remote audits and reduce the amount of time spent fulfilling requests from outside auditors.

Increase Representative Recruitment and Retention

When choosing business partners, financial advisors consider how well broker-dealer organizations help them succeed. With Laserfiche, broker-dealers give their financial advisors the tools to accelerate business processes, simplify regulatory compliance and build a loyal client base—while increasing profitability almost instantaneously.

- ▶ Onboard new branch offices quickly, without installing additional software.
- ▶ Extend the operational benefits of automated business processes throughout your financial advisor network.
- ▶ Help advisors reduce their operating expenses—including rent, staffing and storage costs—and focus on revenue-generating activities.

With Laserfiche, you automate account and transaction processing, realizing cost savings and improving profitability while ensuring compliance through a holistic approach to workflow automation and enterprise content management.

Content Creation and Capture



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



Validate information for compliance and submit electronic form signatures.



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



Validate information for compliance and submit electronic form signatures.

Field Office System



Find information faster and respond to client requests quickly.



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



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



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

Home Office System



Complete transaction validations and approvals electronically.

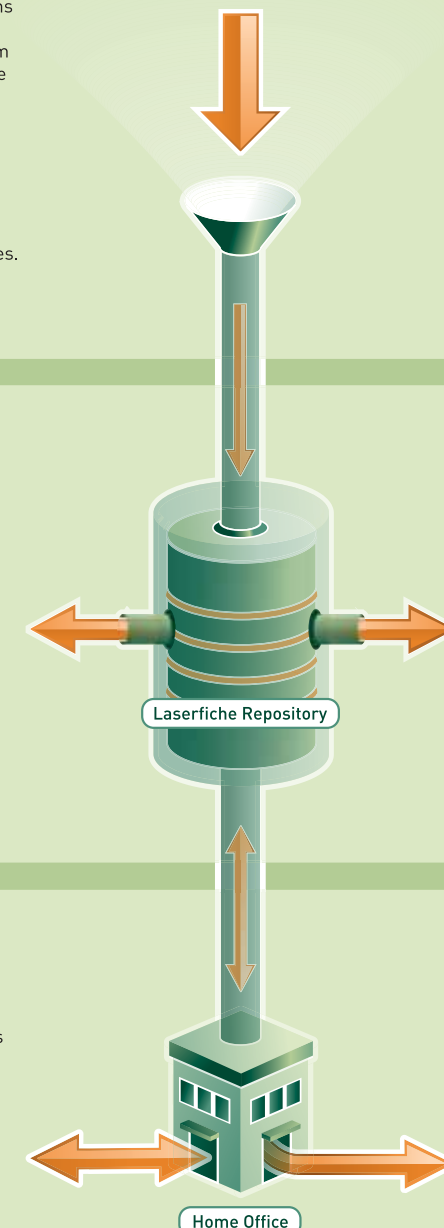
Generate order tickets and submit transactions electronically.



Log all activities, including electronic transfers, and update electronic blotters.



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



Cut Costs and Increase Profitability

Reduce the Costs of Compliance

Multiplying compliance and regulatory demands increase operating costs in an increasingly competitive industry. Inefficient, expensive paper-based compliance policies and procedures cut into profits and bottleneck workflow, while the rising cost of compliance is making business more complicated for broker-dealers seeking to increase profits and remain competitive.

Laserfiche gives broker-dealers the capability to simplify the burden of complying with increasingly stringent multi-regulatory rules and retention requirements—so you gain efficiency, improve profitability and increase oversight over transactions.

- ▶ Use DoD 5015.2-certified records management functionality to automate records life cycle management in compliance with SEC records retention requirements.
- ▶ Set records in time by publishing them to unalterable media, in compliance with SEC record-keeping rules.
- ▶ Monitor all user activity in your Laserfiche system to provide transparency and accountability throughout your enterprise.
- ▶ Enable off-site audits or expedite on-site audits by producing records on demand.

Simplify Business Continuity Planning

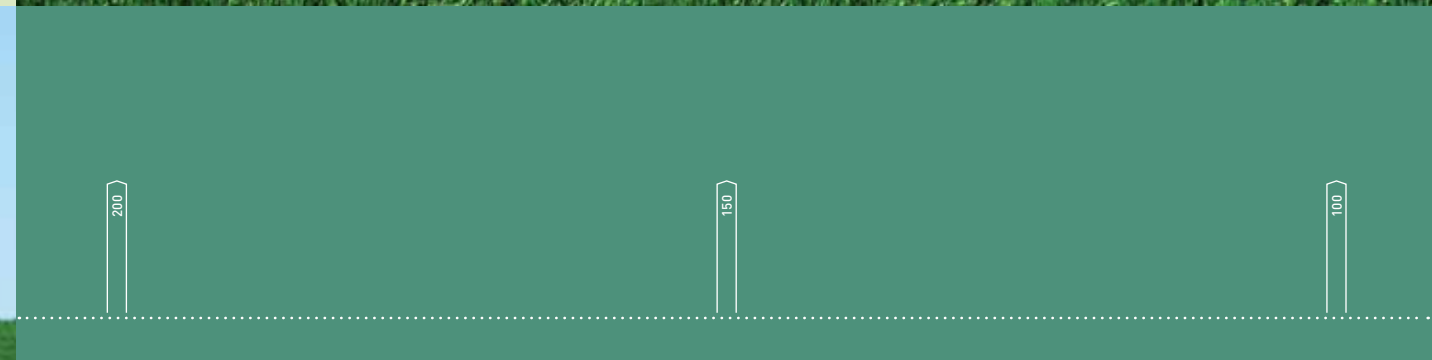
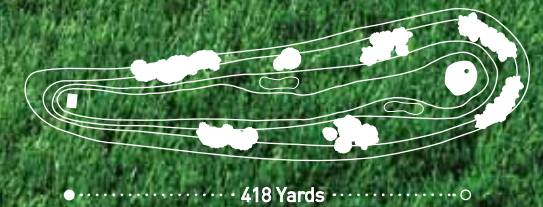
Ensure the long-term accessibility of critical information and simplify compliance with SEC and FINRA business continuity regulations, without the costs of photocopying, transporting and storing backup files.

With Laserfiche Plus portable media publishing, you use back-up data volumes to reconstruct damaged or destroyed information repositories, while providing immediate access—even while other network resources remain offline.

- ▶ Bundle together and publish any portion of a Laserfiche repository into its own fully self-contained repository, which can reside on any portable media.
- ▶ Provide no-disk-required access to your information from PCs and laptops.
- ▶ Publish information to CD/DVDs, portable hard drives or USB drives complete with integrated search and viewing capabilities.
- ▶ Save your published repository as ISO image files and use your own CD/DVD burning program to burn multiple copies of your published repository.

“Laserfiche has become an **integral part of the broker-dealer’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.”

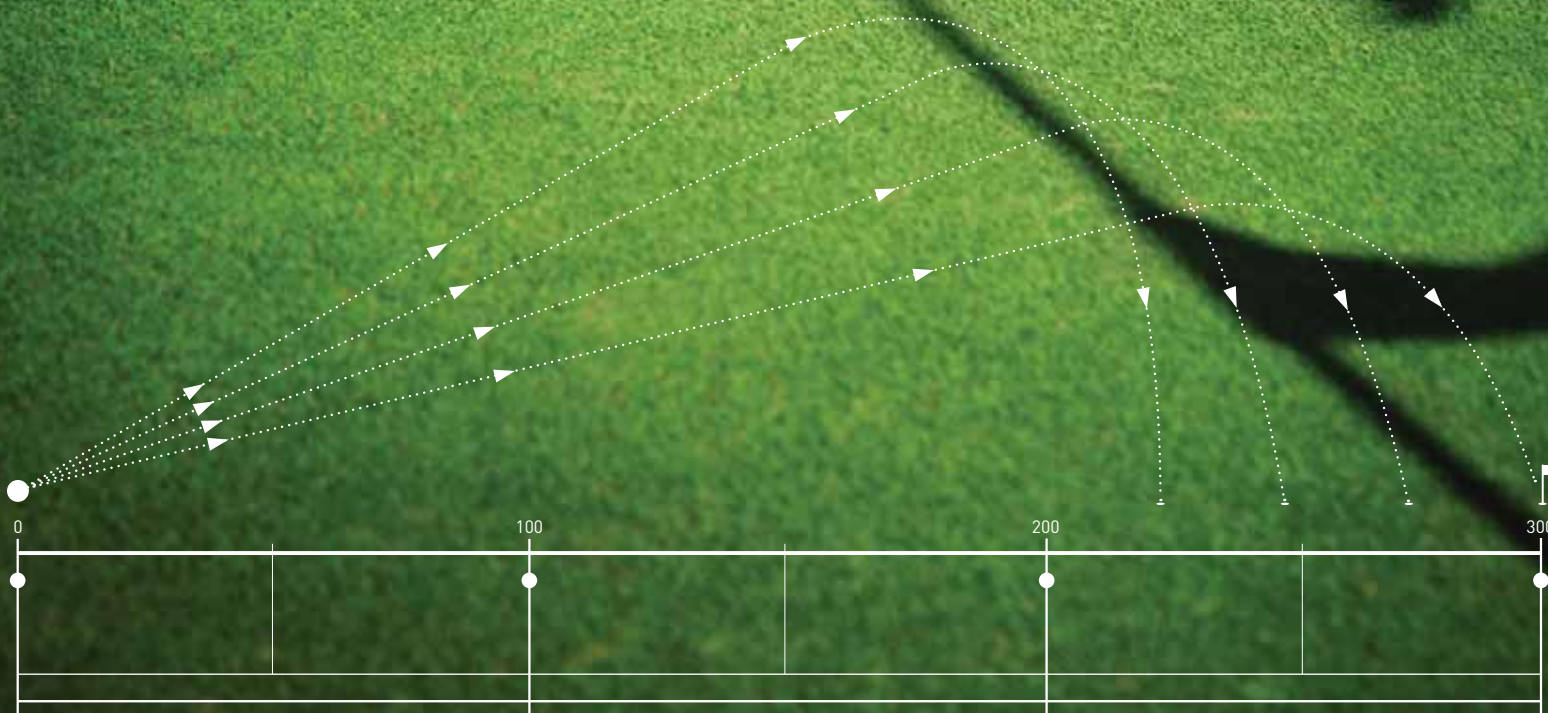
Jim Alpern / Imaging System Administrator / NFP Securities, Inc.



Cut Costs and Increase Profitability

“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’s a very worthwhile investment.**”

Tom Feenan / Founder / Feenan Financial Group



Cost-Effectively Deploy Enterprise-Wide

Laserfiche solutions are designed to deploy in days to achieve a rapid return on your investment, and offer the flexibility to design the ideal solution for your organization’s processes.

Independent broker-dealers with multiple field and branch offices will appreciate the flexibility of Laserfiche Rio, a turnkey solution designed to meet enterprise requirements.

Named-user licensing simplifies purchasing—just count the number of users you’ll need—while volume discounts make enterprise content management affordable.

The Rio system includes:

- ▶ Enterprise content management with integrated DoD 5015.2-certified records management functionality.
- ▶ Both Windows® and Web-based interfaces.
- ▶ Integrated business process management with an intuitive, graphical interface for testing, modifying and supporting workflow activities.
- ▶ Audit trail surveillance of user actions.
- ▶ High-volume document capture and processing.
- ▶ Unlimited servers to support multiple configurations, including satellite offices, server clustering, failover and testing environments, and separate servers for data segregation.

Simplify Administration

Laserfiche systems use Microsoft®-standard administration tools almost exclusively, including MMC snap-ins, WMI compatibility and Windows-integrated error logging and tracing, ensuring that our software complies with standards that make it widely interoperable, extensible and easy to administer.

You can choose to configure your system yourself or work with one of our experienced ECM consultants—to fit the needs and resources of any organization.

- ▶ Manage all the components of a Laserfiche repository—fields, templates, users, groups and volumes, among others—through an easy-to-use graphical interface.
- ▶ Balance workflow load and volume distribution across servers to ensure peak availability.
- ▶ Support both Microsoft and Oracle® database platforms to maximize the value of your current IT investments.

Integrate With Existing Applications

Laserfiche’s open architecture speeds image-enabling your existing applications—while programming tools and pre-packaged modules limit costs and minimize burden on IT staff.

Laserfiche is built with a highly flexible COM-based API, so Websites, scripts, Windows applications or anything else built using COM, including all .NET languages, can easily communicate with the Laserfiche Server.

- ▶ Retrieve information from back-office systems to automatically populate template fields, validate data entry and check metadata capture.
- ▶ Trigger Workflow activities from third-party applications like your CRM application, practice management software or other back office systems.
- ▶ Provide Laserfiche ECM capabilities from Web portals, including Microsoft SharePoint® sites, to improve information organization and access enterprise-wide.



No. 1 Wood



No. 2 Wood



No. 3 Wood



No. 4 Wood

About Laserfiche

About Laserfiche Solutions

Laserfiche creates simple and elegant enterprise content management (ECM) solutions that help organizations run smarter. Since 1987, more than 27,000 organizations worldwide—including federal, state and local government agencies and Fortune 1000 companies—have used Laserfiche software to streamline document, records and business process management.

The Laserfiche ECM system is designed to give IT managers central control over their information infrastructure, including standards, security and auditing, while still offering business units the flexibility to react quickly to changing conditions. The Laserfiche product suite is built on top of Microsoft® technologies to simplify system administration, supports industry-standard SQL and Oracle® platforms and features a seamless integration with Microsoft Office® applications and a two-way integration with SharePoint®.

Your Next Step

To learn more about Laserfiche solutions for broker-dealers or to arrange a demonstration, call (800) 985-8533. Also e-mail info@laserfiche.com or visit laserfiche.com/bd.

3545 Long Beach Blvd.
Long Beach, CA 90807

E-mail: info@laserfiche.com
Phone: (562) 988-1688
Fax: (562) 988-1886
Internet: www.laserfiche.com

Laserfiche Product Suite

The Laserfiche system is designed to be straightforward to purchase, deploy, extend, administer and support. Laserfiche solutions deploy quickly and easily scale to accommodate both an increasing number of users and high-volume repository growth.

Rio™

laserfiche.com/rio

- › Enterprise content management
- › Document imaging
- › DoD 5015.2-certified records management
- › Business process management
- › Complete auditing and security controls
- › Production-level document capture and processing
- › Unlimited Laserfiche servers to support backups, failover clusters and testing environments

Avante™

laserfiche.com/avante

- › Document management
- › Business process management
- › Optional Web client and Audit Trail tracking
- › Optional DoD 5015.2-certified records management

©2009 Laserfiche.

Laserfiche is a division of Compulink Management Center, Inc. Laserfiche is a registered trademark of Compulink Management Center, Inc. All other trademarks are properties of their respective companies. Due to continuing product development, products specifications and capabilities are subject to change without notice. Printed in the USA. Item No. 7609.