Automation in Action: Onboard New Clients in One Hour

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Key Factors for Technology Success

- Create seamless operations through automation
- Create great technology adoption through simplicity
- Create client focused experience
Laserfiche ECM Methodology

- Business Process Management
- Electronic Forms
- Multi-Channel Capture
- Document Distribution
- Governance, Risk & Compliance
- Document Management
Laserfiche ECM Methodology

Multi-Channel Capture
- Mobile Capture
- MFP and Network Capture and Import
- Photo Capture
- Electronic Import
- e-Form Capture
- High-Volume Import

Business Process Management
Electronic Forms
Document Distribution
Governance, Risk & Compliance
Document Management
Laserfiche ECM Methodology

Business Process Management
- Pre-built Workflows
- Custom Notifications and Triggers
- C# and VB.NET Script Editor
- Search and Reporting Interface

Electronic Forms

Multi-Channel Capture

Document Distribution

Governance, Risk & Compliance

Document Management
Laserfiche ECM Methodology

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- Document Management
- Document Distribution

- Laserfiche Content Server
  - Workflow Engine
  - Enterprise Search
  - Document Imaging
  - Records Management
  - Document Management

- Document Distribution
  - Web Public Portal
  - Portable Archives
  - Desktop, Web and Mobile Clients
Laserfiche ECM Methodology

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Document Management:
- Version Control
- Basic and Advanced Search
- Unified Metadata Models
- Bundled OCR/Full-text Indexing
Laserfiche ECM Methodology

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Governance, Risk and Compliance
- DoD 5015.2-certified Records Management
- VERS-compliant Electronic Records Management
- Wizard-based Audit Trail Configuration
- Audit Trail Reporting
- Digital Signatures

Laserfiche ECM

Governance, Risk & Compliance

Document Management

Document Imaging

Records Management

Enterprise Search

Workflow Engine

Laserfiche Server

Multi-Channel Capture

Document Distribution

Electronic Forms

Business Process Management
Laserfiche Cloud is a Software as a Service (SaaS) solution that provides a central digital repository accessible from anywhere.

**Search and Retrieval**
- Retrieve documents with quick and advanced search options
- Auto-categorize documents for easy retrieval
- View and modify document metadata, annotations and fields

**Core Compliance**
- Manage records by file plan
- Audit actions taken on documents
- Choose user access to folders

**Distributed Capture**
- Scan client paper records
- Fire email correspondence
- Directly store office documents
- Import from digital copiers
- Attach documents from a smartphone

**Integration**
- Connect to documents from most CRMs
- Post signing requests to DocuSign
- Save to a folder directly from Laser App
Laserfiche ECM In Action

James Simos
Co-Founder and Chief Operating Officer
Infinity Financial Services
James Simos is an accomplished, results-driven senior wealth manager, financial planner and entrepreneur with 18 years of successful leadership, business development, client relationship, and financial management expertise. In 2007, James launched Infinity Financial Services, a national independent wealth management firm, with Co-Founder Gregory B. Gilbert, CFP®. He began his wealth management career as a financial advisor with Merrill Lynch and joined LPL Financial Corporation prior to starting Infinity Financial Services.

James is dedicated to helping the firm’s financial advisors to grow their independent practices in a flexible, open architecture environment. James is experienced in evaluating and selecting a comprehensive platform of technology solutions and correspondent services; and in the implementation of an extensive array of asset and risk management solutions. Infinity offers professional traditional and alternative asset management, insurance, and risk management services, and retirement plan advisory services to individual, small business and institutional investors. In 2015, Infinity launched Elevate Plan Services, an innovative online financial planning solution, which is a WealthManagement.com 2015 Industry Awards Finalist for Technology.

Prior to his wealth management career, James was responsible for overseeing financial operations for a $10 million dollar division of Georgia Pacific and was a worldwide management consultant with Accenture.

James received his BA in Accounting and MBA from Westminster College of Utah. He is a Certified Financial Planner, a member of the Financial Planning Association (FPA) and a member of the National Board of Certified Option Advisors (NBCOA). James holds FINRA Series 7, 24, 28, 53, and 66 licenses and State of California insurance license (#0D83810).
Streamline NIGO/IGO reviews

- Receive email notifications with link to repository when applications are submitted
- Workflow automatically compiles all documents in client’s folder
- Apply and modify metadata to document field templates for easy classification
- Add/modify metadata fields with built in audit trail that logs who made what changes
Streamline NIGO/IGO reviews

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Confidence in Good Order

- Approve document status with the click of a button
- Workflow creates new client folder and archives in appropriate rep folder
- Add time & signature stamp to sign off for compliance
- Easily forward document for additional compliance review
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Meet SEC and FINRA Compliance requirements

- Perform customized field searches of all account/document types
- Configure column views to show what information auditors are looking for
- With correct metadata, pull whatever information and retrieve any document across all departments
- Easily compile list and unit system of needed contents
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Laserfiche + Redtail

- Access all Laserfiche client information and content from Redtail CRM interface
- Map Laserfiche folder structures to RedTail records and map Redtail data to Laserfiche template fields
- Users can enter necessary information through integration section in preferences window
- Relevant Laserfiche folder structures uploaded and all content is accessible without leaving Redtail interface
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## 3 Key Takeaways for Technology Success

- Create seamless operations through **automation**
- Create **secure and compliant** business processes through simplicity
- Create **customer focused** experience

### Automation

Reduce operational costs through seamless automation of processes such as NIGO/IGO document review

### Security

Reduce risk and have full confidence in good order to ensure SEC and FINRA compliance requirements

### Customer Experience

Harness the value of your clients and provide responsive services with secure and accurate information
Ready to see Laserfiche in action?

Request a Demo

Book your Appointment Today

- Or call (562) 988 – 1688

In just 30 minutes, you’ll see:

- Laserfiche capture, storage, security and workflow features
- Workflow automations to further improve your business processes
- Best practices to meet audited requirements
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