



FILENEXUS® FOR FINANCIAL SERVICES

The **FileNexus® Enterprise Document Management System** gives organizations, both large and small, the ability to capture virtually any type of document from any source (i.e., paper records such as maps, drawings, manuals; electronic files such as host generated reports, client statement streams, emails, IVR recordings, etc.), index and compress them for secure archival and future recall-providing a single cohesive repository for all document management, workflow, archival and business continuity needs.

Here are some examples of how brokerages, investment firms, credit card and consumer finance companies use FileNexus® in different parts of their operations:

“FileNexus® was a big contributor to help us increase our productivity by up to 80%...”

***Jim Williamson, VP Information Technology,
The Independent Order of Foresters™***

ALL DEPARTMENTS

Capture, Organize & Archive Any Type of Record, From Any Source

FileNexus® provides a single cohesive repository to automatically capture all of your information from third-party applications, print streams, email, images, IVR recordings, PC files, Web Forms, Portals, you name it; and automatically index and organize these records just the way you like.

Automate Any Workflow Environment

FileNexus® allows you to automate any workflow, organizing pending tasks, providing personalized workflow action buttons and interface, based on individual user requirements.

***“FileNexus® is becoming the foundation for all the things we do in the organization.”- John Hall,
Vice President, Accounting and Information Services, The Hillman Company***

Manage & Track All Aspects of Your Business

Use FileNexus® dashboards to track and report on business workflow outcomes, functions, staff productivity, etc. FileNexus® can also automatically export key information for use in spread sheets or other third-party analytics applications.

***“We were really impressed at how fast FileNexus® was set up. After one week, we had three portions of what we were planning on implementing already up and running. Very few companies that you work with are able to implement that quickly.”- Janet Manske, Head of
Information Technology, Peters & Co. Limited***

Automatically Distribute & Allow Access To Data By Staff, Vendors, Or Clients

Automatically capture, manage and securely distribute data electronically from any source – from host reports, to payment streams, to client statement runs. Distribute and allow access to information by way of portals, through integration to third-party application screens or the FileNexus® Web Client.

Two-Way (Push-Pull) Integration With Third-Party Applications

FileNexus® provides for two-way integration with such third-party apps as CRM, Finance, Accounting, Administration, HR, etc. by way of web services, ActiveX, URL links, command line parameters (depending on the platform). FileNexus® can update other applications as new records come in (for example, tell another system that a bill has been paid) or retrieve information from other systems to update the files it stores – either way, staff time doing data entry and keying errors are dramatically reduced.

***“We have over 800 organizations using our financial application. FileNexus® is world class - it's our standard. Our customers are blown away by our integrated solutions.”- John Leslie, CEO,
Multiview Corporation***

Intelligent Internal Task Assignment – Automated work assignment “push” tasking to individual staff based on task priority (SLA's, time elapsed etc.), staff qualification, staff availability (based on current task load, absence due to illness or



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vacation). Management adjustable metrics for controlling task assignment - management dashboards, alerts, individual productivity etc.

Web Based Smart Forms – Provides forms for data capture on the web, automatically determine which form to present next based on previous data input, automatic update of internal systems with form input data, allow for printing where signature is required, endorse smart bar codes on printed “for signature” documents to allow for automated processing on receipt of form from the outside party.

Secure Corporate/Third Party Communication Portal – A secure vehicle for communication between internal corporate staff and outside parties, including automated workflow routing, new message notification, attachment/enclosure forwarding, complete tracking and archival of the complete communications stream.

E-Contracting – Automation of the entire on-boarding process for third parties such as brokers, agents, vendors etc., including web smart forms for data entry, enclosure of relevant documentation, automated workflow/routing, verification checks against third party systems, user adjustable decision engine for decline/accept/maybe rating process and update of relevant hosts systems after decision is complete. Secure archival of all relevant information to FileNexus®.

“Before FileNexus®, the auditors would send 7 people for 5 weeks down to our Wilmington office to do audits. It was a huge expense. Now they send 2 people for 2 to 3 days.”- John Hall, Vice President, Accounting and Information Services, The Hillman Company

Supports Disaster Recovery & Business Continuity Plans

FileNexus® ensures business continuity in the event of a disaster. It fits into whatever environment you have (physical, VM, cloud, multiple site, cluster, SAN, NAS).

Supports Compliance With Audit & Regulatory Requirements

Automated audit log tracking of all record movements/versions/locations, protection of original records, retention scheduling, data encryption, advanced user security controls and many other security features are ready to go “out of the box”. Many FileNexus® users consider FileNexus® a cornerstone in helping them comply with regulatory requirements such as Sarbanes-Oxley, SEC, OSFI, FATCA, PIPEDA, PCI, Litigation Support, HIPPA, Audit and so on.

Eliminate Third-Party Costs For Storage, Hosting, E-Presentation, Media & so on

Eliminate costs related to document production, storage, hosting fees, shredding, media, retention, etc.

Proven Performance

Representative organizations employing millions of people now rely on FileNexus® as their mission critical document archive, workflow and records management strategy.

CUSTOMER SERVICE

Securely Capture & Archive All Client Information – Everything From Everywhere

All customer service records from any source including but not limited to applications, correspondence, emails, contracts, confirms, bill statements, phone records, IVR recordings, complaint resolution process, etc. – everything from everywhere. No paper, no filing—a comprehensive client profile instantly available to the desktop at the click of a mouse.

“FileNexus® is just a lot more convenient and easier than going through boxes and flipping pages – files can be brought up in seconds.” - Justina Natividad, Manager, Deposit Services, Equitable Bank“

Automate Workflow Processes from New Client Sign-Up To Account Close Out

FileNexus® can dramatically streamline the client management process by creating, capturing, indexing and securely archiving all on-boarding, account management and close out documents into one streamlined client workflow process—dramatically speeding up client support resolutions and rationalising operations.



FILENEXUS® FOR FINANCIAL SERVICES

Keep Your Client Information Secure

Using appropriate security privileges and access controls, FileNexus® can be configured to ensure managers, CSRs and individual clients view only the information they are entitled to see.

Seamless Integration With All Customer Service Systems

Integrate FileNexus® with your existing systems, including but not limited to CIS, CRM, Call Centre, Contact Management, IVR, etc. Access archived files directly from your host system screen with the click of a button. All client information from everywhere—instantly. All you require, right when you need it.

We went from taking days and weeks to service requests – down to hours, within days of implementing FileNexus®.”- Jim Williamson, VP Information Technology, The Independent Order of Foresters™

Web Portal Access For Clients

Automatically capture and store all client related information such as client newsletters, confirms, statements, etc., and link it to your existing web portal. FileNexus® can be set to automatically notify your clients when new information is available, and allow them to review all previous information.

CARD SERVICES

Automatically Capture, Archive & Manage Electronic Statement Streams

FileNexus® can securely capture, burst and index statement streams from multiple sources, such as print service providers and internal composition systems, on the fly and e-notify clients as needed. No user intervention required. Eliminate expensive third-party hosting and print/mail costs.

“The Loris service for support is fantastic! With all the vendors I deal with, Loris ranks number one!”- Wayne Woo, Chase Card Services

MORTGAGE SERVICES

Retail & Commercial Lending

Automate the entire lending process from application to final funding for things such as purchases, refinancing, large loans and equity deals. Monitor and track the entire process to increase resolution speeds, gauge efficiency, track staff productivity and optimize operational efficiencies.

“For Mortgage Services, FileNexus® has improved processes within our department by alleviating the need to request and search for physical files. It has streamlined and created more efficiency in our workflow process.” - Aviva Braude, Director of Mortgage Services, Equitable Bank

Deposit Services

Capture all client documents including information on deposits and GICs. Automate rollovers and renewals, early redemptions, cancellations, etc. all directly within FileNexus®. Monitor and track the entire process to gauge efficiency and track staff productivity.

Web Portal Access for Clients, Producers, MGAs & Staff

Distribute and make available all relevant and appropriate documents, data, and policy statements, etc. to your clients, producers, managing general agents and other staff.



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INSURANCE SERVICES

Producer Contracts

Receive and archive producer contract documents to facilitate and automate the on-boarding process. Streamline the whole workflow from receipt of paperwork to approval processing and response. Options could include web based sign up forms, validation, background checks, voice signature capture, tracking SLAs, prioritizing sales channels, etc. Integrate with related internal and third-party systems such as compensation, contract approval and issuance.

Intelligent Internal Task Assignment

Automated work assignment “push” tasking to individual staff based on task priority (SLA’s, time elapsed etc.), staff qualification, staff availability (based on current task load, absence due to illness or vacation). Management adjustable metrics for controlling task assignment - management dashboards, alerts, individual productivity etc.

“FileNexus® gave us the results we wanted, fast – with no surprises. What else can you say?”
Peter Sweers, SVP and Chief Operations and Information Officer, The Independent Order of Foresters™

Web Based Smart Forms

Provides forms for data capture on the web, automatically determine which form to present next based on previous data input, automatic update of internal systems with form input data, allow for printing where signature is required, endorse smart bar codes on printed “for signature” documents to allow for automated processing on receipt of form from the outside party.

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Policy Documents

An end to end process for the intake of signed insurance applications. Automate and manage workflow, track efficiency of and report on the entire policy issuance process from intake to issuance.

WEALTH MANAGEMENT & SECURITIES

Account Opening

Capture, manage and distribute all client account opening documents including—by way of FileNexus®—web based form applications, electronic signatures, emails including attachments, voice signatures, decision documents, etc. This includes FileNexus® workflow automation using event triggers and custom web based forms. FileNexus® integration for account opening in host systems.

“We are excited about implementing FileNexus® features and capabilities as we move forward. We expect to see future cost savings thanks to increased productivity stemming from our ability to retrieve information faster and more efficiently from a secure centralized system using FileNexus®.” - Ursula Holmsten, Controller & Principal Peters & Co. Limited.

Report Capture & Management

Automatically capture, burst, distribute, manage reports such as commission, confirmations, statements, trading reports, for example Broadridge® reports, etc.



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Client Files

Automate and manage “know your client” files including statements, renewals, broker reassignment, etc.

Research

Automatically capture, archive, burst and distribute selected research documents to clients and/or staff.

eDiscovery & Compliance

Automatically capture and securely store all emails with attachments and related documents. Easily search, identify, and monitor for legal/compliance reasons.

FINANCE

Securely Capture & Archive All Financial Information – Everything From Everywhere

All financial information from any source includes but is not limited to AR, AP, yearly pack audits, cheque streams, general ledger, monthly financial reports, client transactions, dividends, reorganizations, trading blotter information, contracts, etc. Easily comply with regulatory requirements for document retention and significantly reduce the turnaround time on pulling and referencing reports and payment information. No paper, no filing—a comprehensive financial profile instantly available to the desktop at the click of a mouse.

“We’re just so happy to have a solution that provides us with the business continuity capability we need, and a centrally managed document management system that users can access from one application.”-Janet Manske, Information Technology Manager, Peters & Co. Limited.

Automate The Entire Procure to Pay Process

Create workflow processes to streamline and automate Accounts Payable procedures from purchase order issuance, approvals, orders, delivery, receipt of goods, billing, vendor invoicing, automated capture of cleared cheques, etc. Instantly retrieve any or all invoices for variance analysis or audit purposes, allowing the tracking, streamlining and automation of the entire AP process.

Automate The Accounts Receivable Process

Dramatically simplify the Accounts Receivable process from capture of orders, statements, invoices, remittance stubs, call centre collections information through to capture of payment streams from bank clearing centres. FileNexus® can even be set to automatically update host financial systems (for example, with payment notifications) – no manual data entry required.

Automatically Capture, Index, Burst & Distribute Financial Reports

Burst and distribute reports, such as the daily review and monthly financial reports, based on employee title, allowing electronic access and completion - even remotely.

FileNexus® has this great option for multiple access by many interdependent users of the system. Without the wait period our division is able to review and move the file from one folder to another allowing us to move more quickly to the funding process.”-Sayed Karrar Taqi, Manager, Quality Assurance, Equitable Bank

Seamless Integration With Existing Financial Systems

Integrate FileNexus® directly into the workflow engine of your existing financial or accounting application—eliminating paper-based approvals and providing instant access to all archived documents directly from the host screen.

Web Portal Access For Vendors, Staff or Clients

Use FileNexus® to automatically capture, distribute and make available relevant financial information by way of web portals.



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HUMAN RESOURCES

Capture & Archive All HR Information

Electronically capture, index and securely archive all HR information from sources such as resumés, offer letters, performance reviews, timesheets, benefits documents, payroll data, reprimands, policies and procedures, etc.

“If we ever need to reference documentation on employees, it’s just a mouse click away. It saves us a lot of time, and is a lot more efficient”

Jordan Clements, East Baton Rouge Parish Schools, Supervisor of Payroll and Benefits

Track The Hiring Process To Completion

Store and search through resumés, job applications, test results, references, etc. and track the hiring process through to completion.

“There isn’t anything we’re not archiving”- Millie Williams, Interim executive director of Human Resources, East Baton Rouge Parish Schools

Annual Reviews & Staff Management

Automate the whole annual review and staff management process with workflow-based routing of review forms for management approvals, vacation requests, timesheets, event triggers, notifications, etc.

“We would like to see FileNexus® in every department and on every desktop, and I know FileNexus® will take us there.”- Nadine Witt, Systems Manager – Employee Data Systems, East Baton Rouge Parish Schools

Web Portal Access For Staff

Allow employees secure access to their own information such as pay stubs, vacation requests, performance reviews, etc. through a self-serve portal.

Automatically Capture & Distribute HR Information

Capture and securely distribute electronic data such as pay stubs, corporate announcements, manuals, health and safety data, etc.

WHAT’S YOUR IDEA?

Do you need to automate a workflow process? Contact us today.

For More Information

To learn more about how FileNexus® can streamline your operations and improve your business efficiency, please contact:

E: sales@loristech.com

Visit www.loristech.com for more details on how other organizations use FileNexus® in their operations. You will also find client profiles and more on FileNexus® and Loris Technologies Inc.