
Deploy the Best of Robo Technology to Delight Clients through ECM

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Semper Augustus Investments

The Laserfiche logo is displayed on an orange rectangular background. The word "Laserfiche" is written in a white, bold, sans-serif font, with a registered trademark symbol (®) to its upper right. Below it, the tagline "Run Smarter" is written in a smaller, white, sans-serif font, with a trademark symbol (™) to its upper right.

Laserfiche[®]
Run Smarter[™]

Industry Pressure Points

- Aging Bull Market
- Technology Changes
- Regulatory Change – DOL Fiduciary
- Competitive Pressures – New Robo Entrants
- Client Expectations



“Rex, have you seen our disaster recovery plan?”

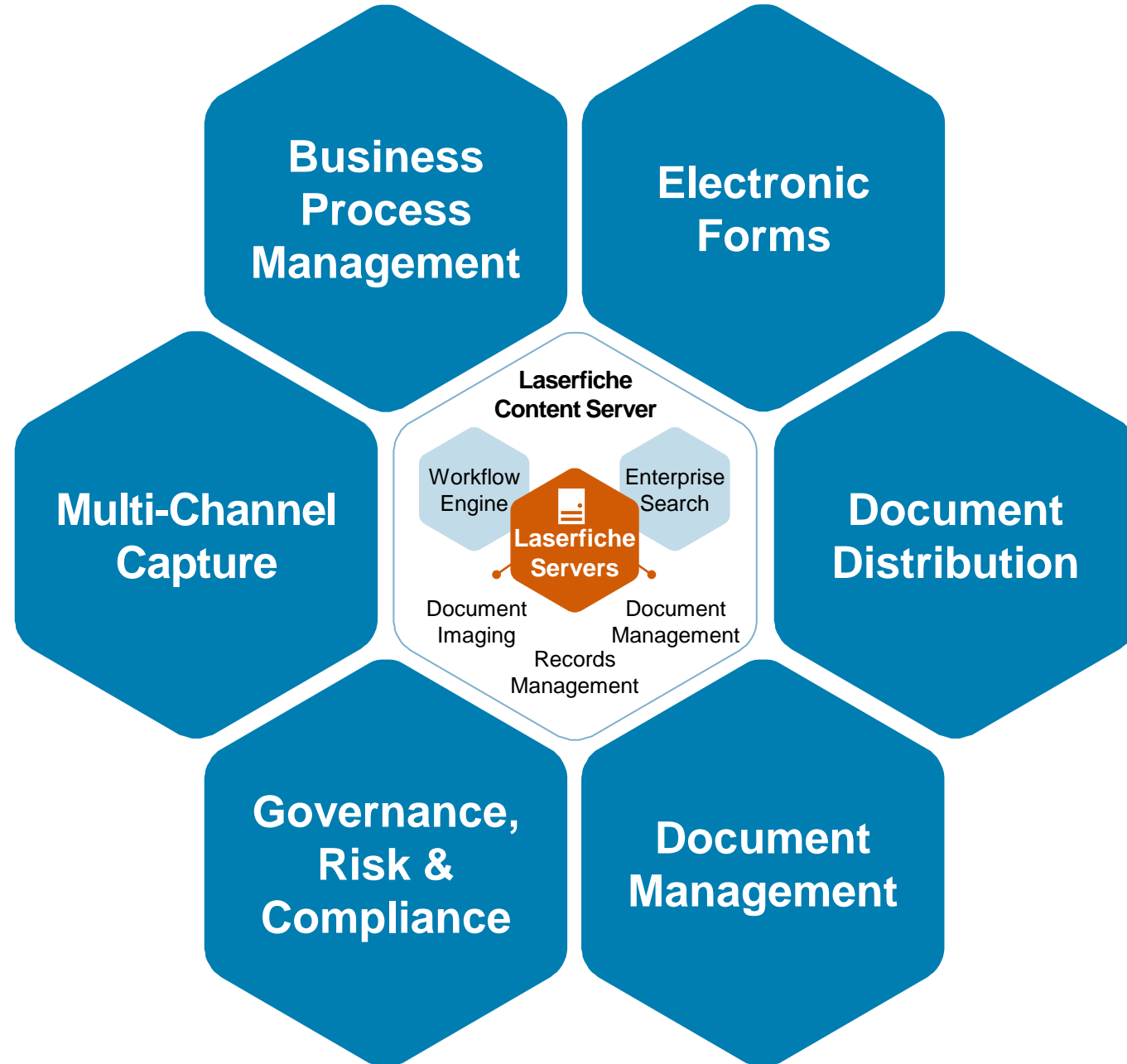
Strategies for Advisors

- Adopt the best of the Robos:
 - Automate, automate, automate
 - Simplicity
 - Focus on the client experience

Strategies for Humans



- Deploy Client Engagement/Experience Technology
 - Paperless Account Opening
 - Enhanced Website
 - Client Portal
 - Goals-based Financial Planning
 - Digital Signatures
 - Account Aggregation

Laserfiche Enterprise Content Management (ECM) Methodology



Laserfiche ECM Methodology

Multi-Channel Capture

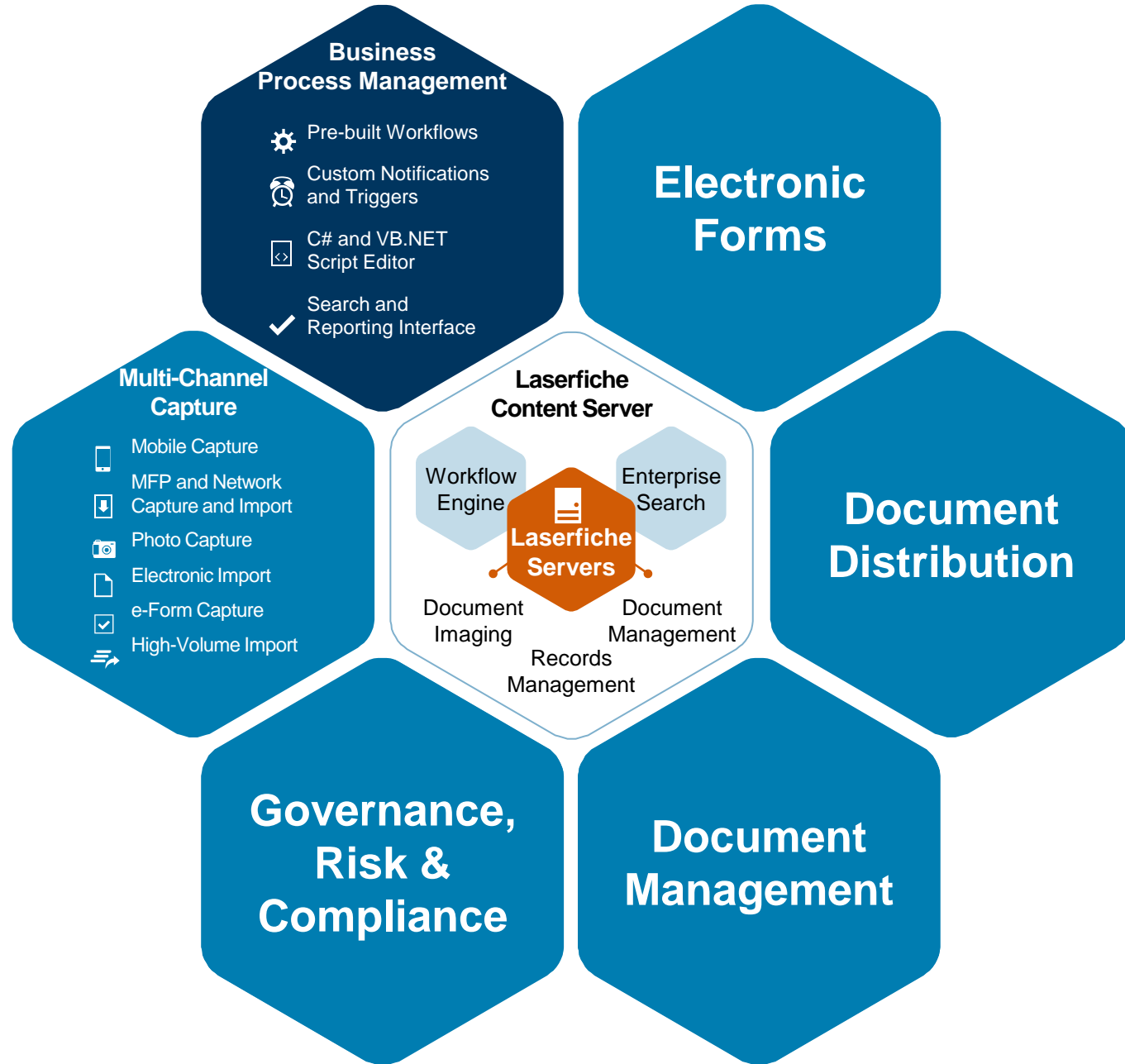
-  Mobile Capture
-  MFP and Network Capture and Import
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-  e-Form Capture
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Laserfiche ECM Methodology

Business Process Management

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



Laserfiche ECM Methodology

Electronic Forms

- Form Builder
- BPMN Routing
- Task Management
- Mobile Approval
- Reports



Laserfiche ECM Methodology



Document Distribution

- Web Public Portal
- Portable Archives
- Desktop, Web and Mobile Clients

Laserfiche ECM Methodology



Document Management

- Version Control
- Basic and Advanced Search
- Unified Metadata Models
- Bundled OCR/ Full-text Indexing

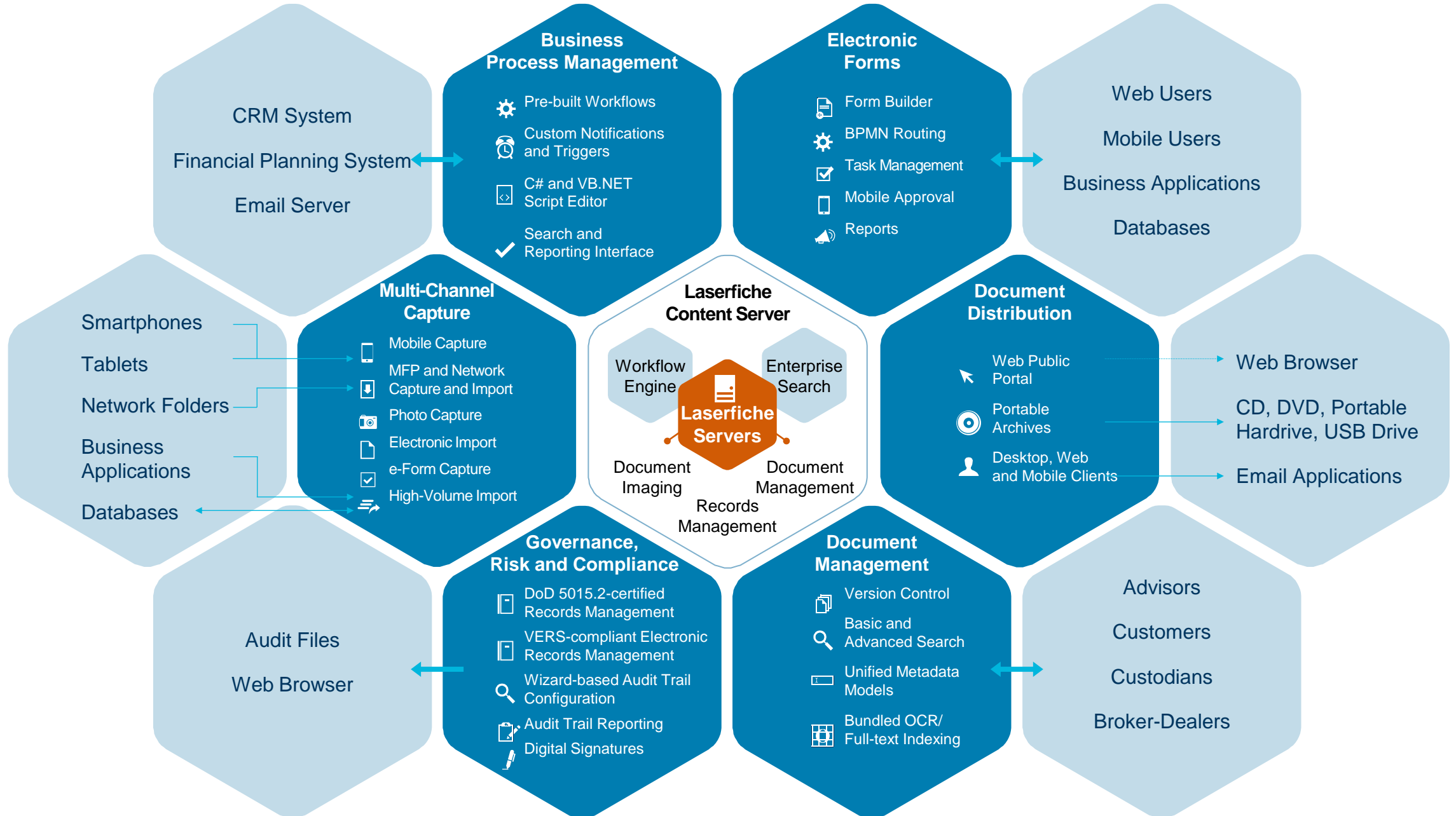
Laserfiche ECM Methodology



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 Methodology



Semper Augustus Firm Overview

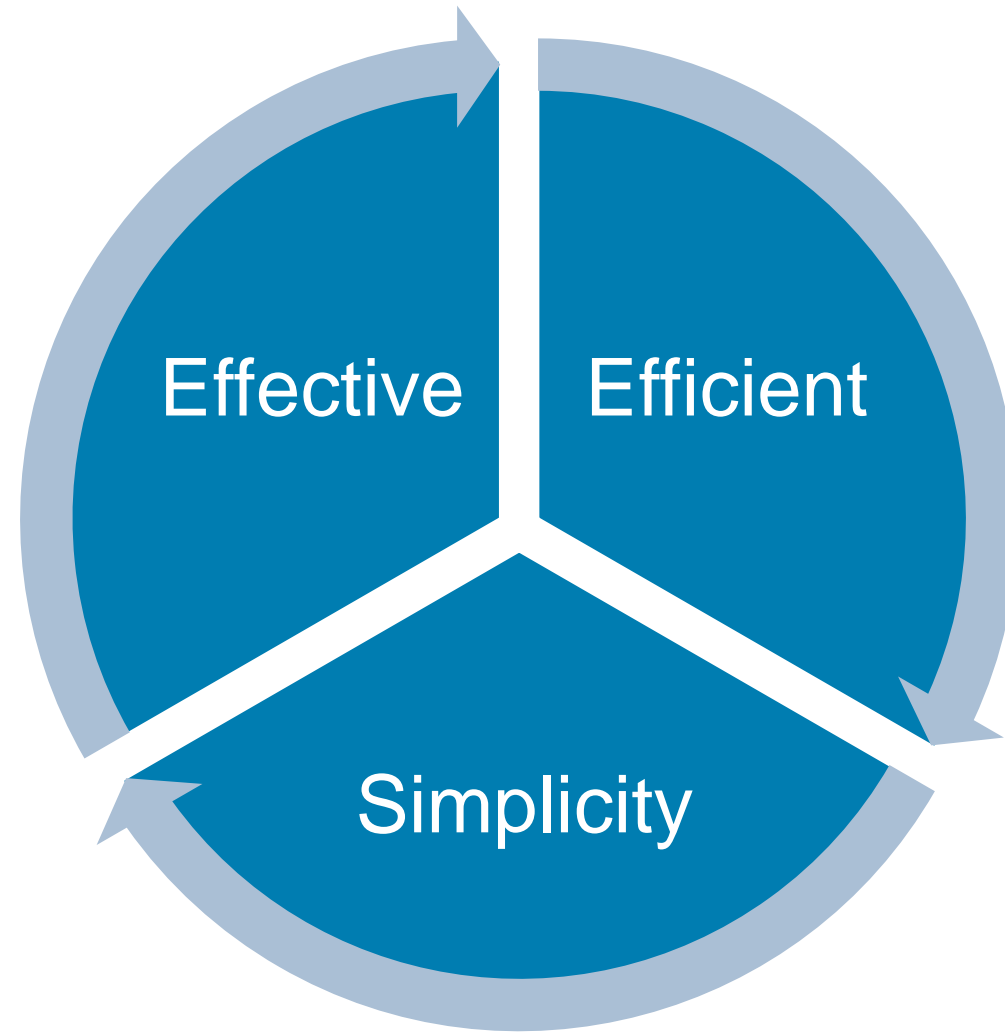
- **\$175 Million AUM and 115 Clients**
- **Denver-1 Principal and 2 Part Time Operations**
- **St. Louis-Chief Investment Officer**

“We had an overwhelming, enormous monster pile of stuff that we needed to transform into efficient processes, core knowledge and firm value.”

Firm Objective

Think hard once. Repeat.

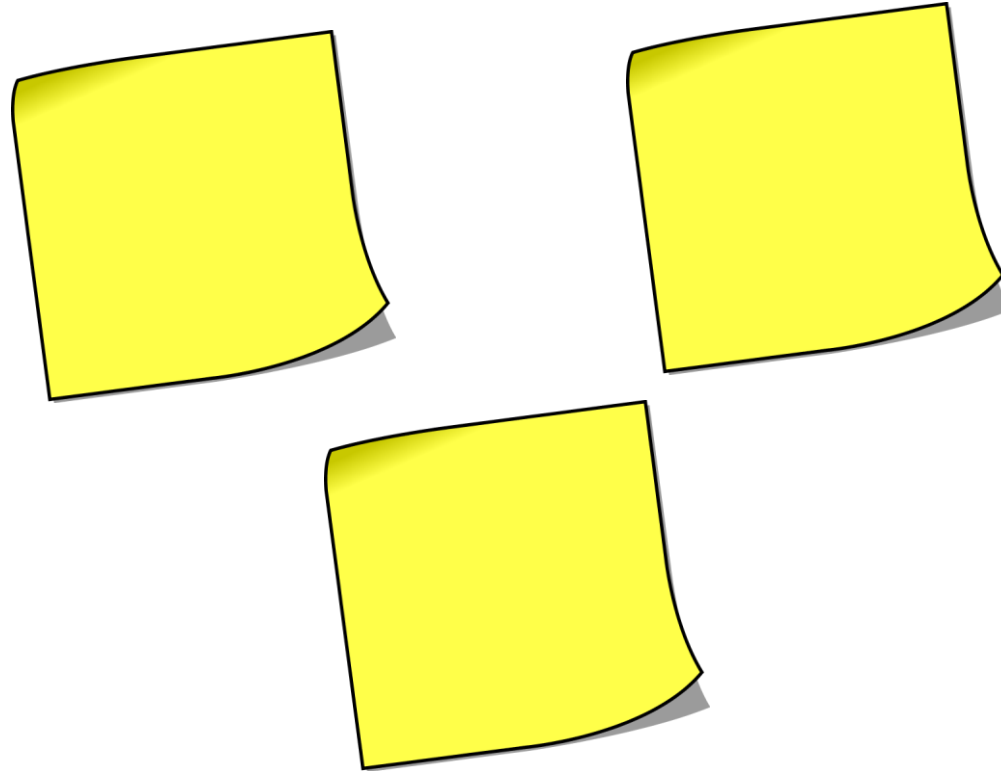
System Objectives



Investment

8 Hours of Creative Thinking
=
1 Hour Saved
∞

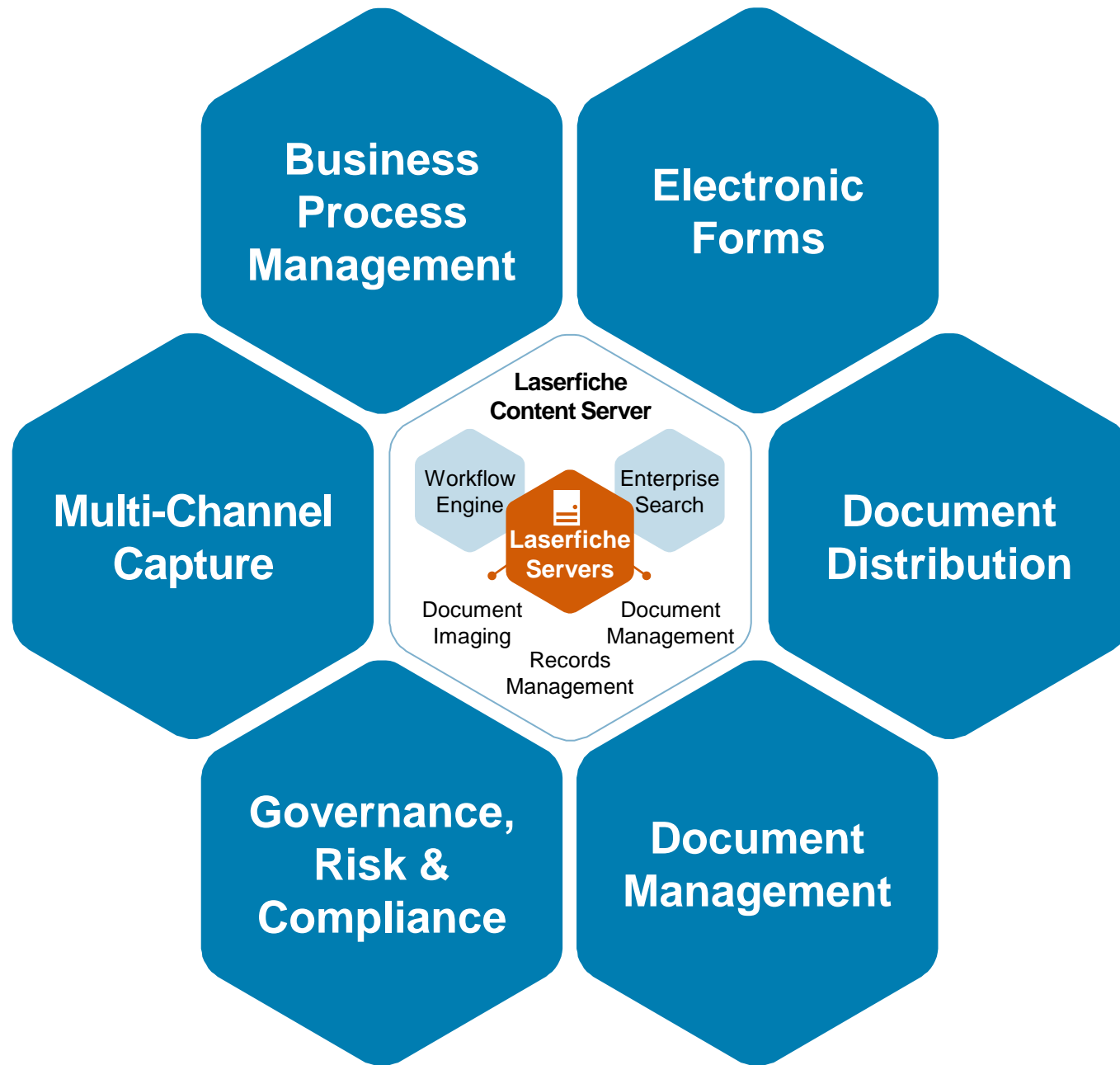
Process Redesign



Applying Objectives to Processes

- **Recurring Action Processes**
 - Daily, Monthly, Quarterly, Annually
- **Ad Hoc Processes**
 - CRM
 - On-Demand

Process Mapping through Laserfiche ECM Methodology




Capturing Disparate Information

Disparate Information Sources

- **Mail**
- **PortfolioCenter Batch Reports**
- **Internal Database Reports**
- **Statement Downloads**
- **Emailed PDF's**






Digital Information Capture

Multi-Channel Capture

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Electronic Forms

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Scan

- Ad Hoc Tasks
- More Training Due to More Subjectivity
- Document Type Drives Metadata

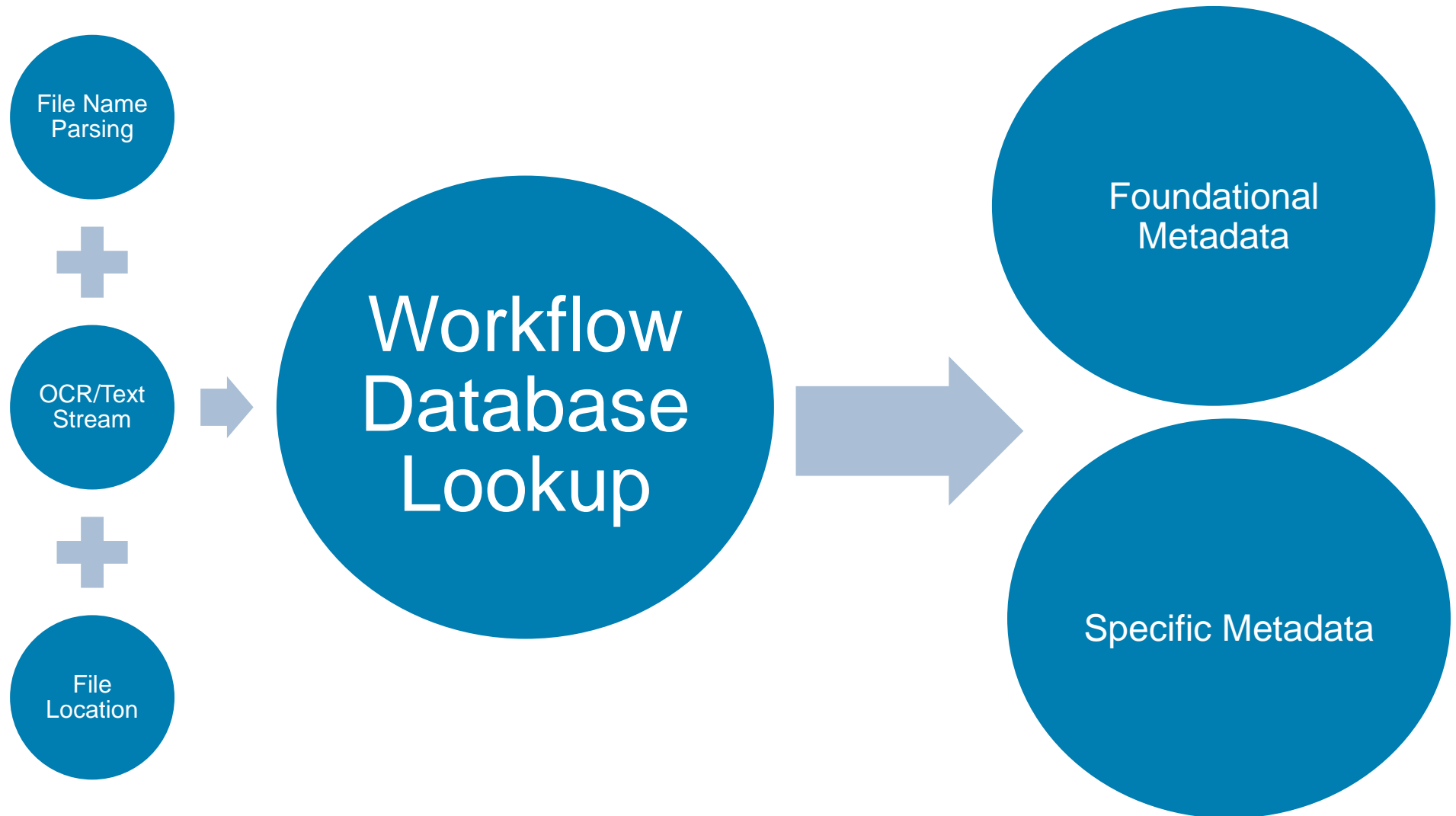


Laserfiche Import Agent

- Download Documents
- Recurring Actions
- 100+ Import Agent Jobs



Laserfiche Import Agent + Laserfiche Workflow

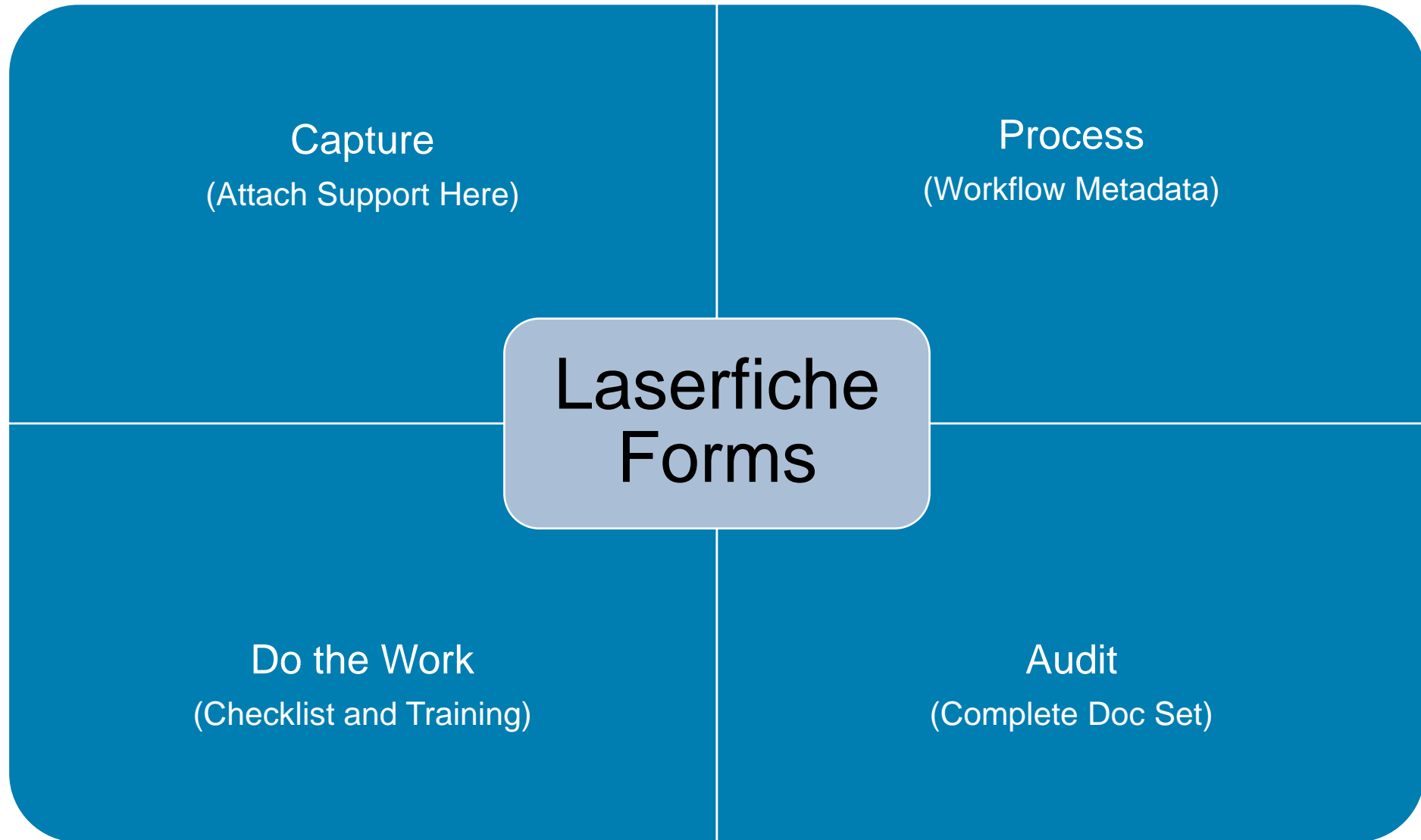


Laserfiche Forms

- **Dynamic Checklists**
- **Embed Training with Screen Shots**
- **Attach External Reports**



Laserfiche Forms



Sample Forms Checklist

1 New Accounts: Critical Data Field Identification

CompositeBuilder Checklist

1	Identify new portfolios that are ineligible for assignment to a composite: Portfolios that are not firm assets Portfolios that are firm assets but are non-discretionary Non-fee-paying portfolios that will not be included in a composite.
---	---

Are all accounts reconciled? *

Done

Comment *

Attach SAI Monthly Reconciliation Checklist *

Monthly checklist is scanned to MRS and exported to S Drive for import.

Upload

Form Title

**Screenshot from
User Manual**

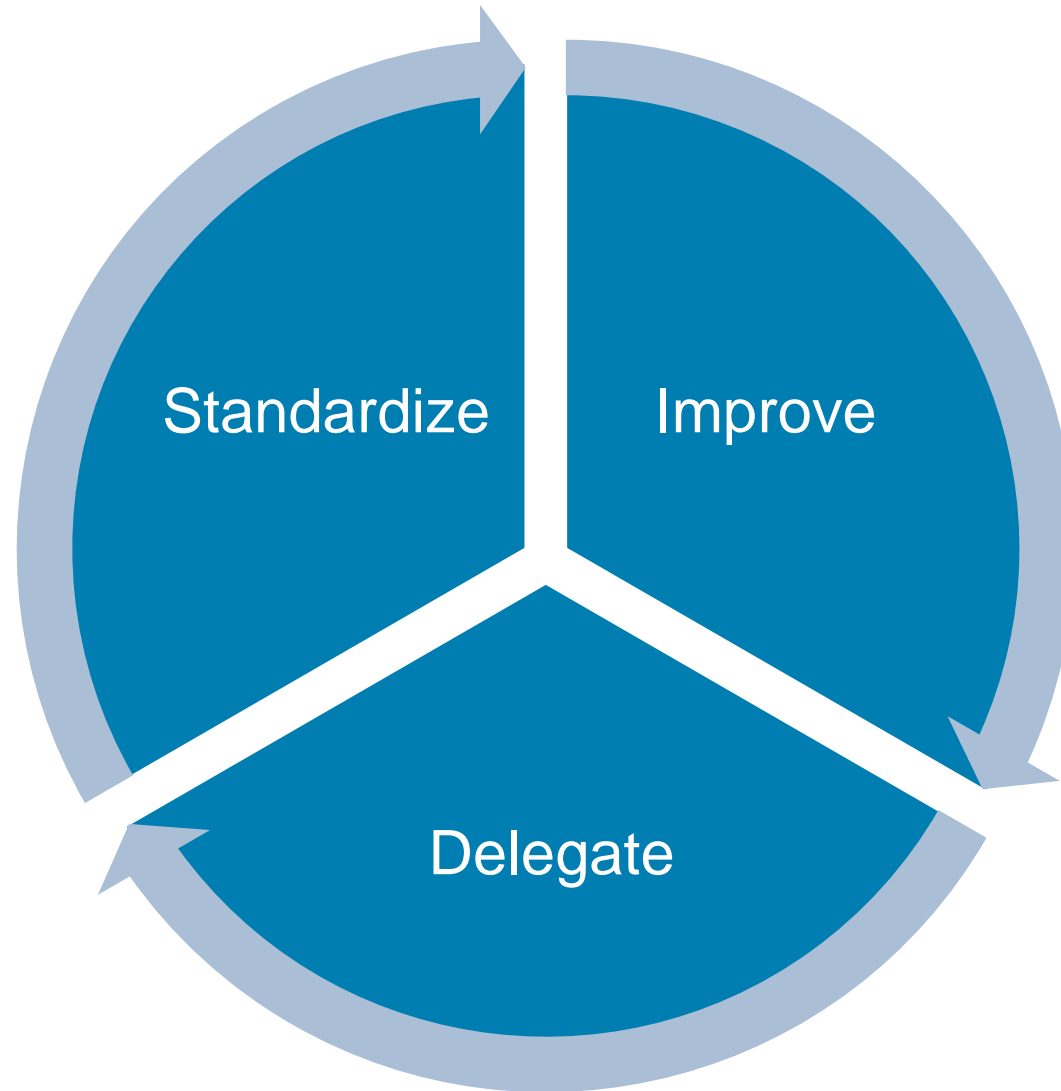
Checklist

**User
Documentation**

**Capture
Supporting
Reports**

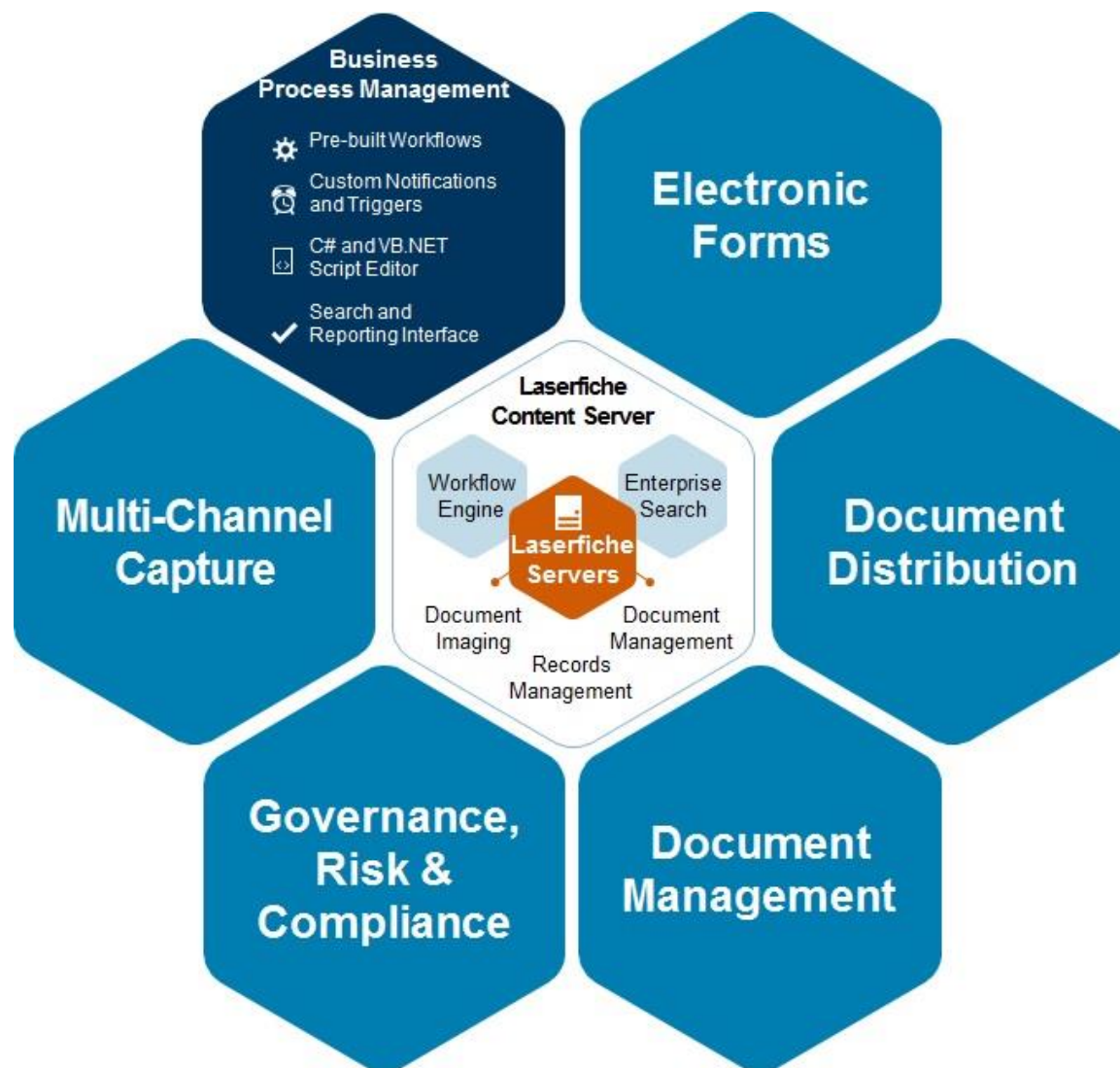
Automating Key Processes

Scalable Business



Laserfiche Workflow Design

- **Better Planning**
- **More Thinking**
- **Make a Decision**



Primary Laserfiche Workflow Sessions

- **Approval and Routing**
- **Metadata Assignment**
- **Real-Time Notification**

Real-Time Notification

- **Scheduled Alerts**
- **Action Required**
- **Just-in-Time Instruction**
- **Mobile and Accessible to Workforce**

Laserfiche ECM Methodology



Document Distribution

- Web Public Portal
- Portable Archives
- Desktop, Web and Mobile Clients

Obtaining Business Intelligence

Business Intelligence: Compliance

- **SEC Exam Request List**
- **Compliance Policy and Procedures**
 - E. Current standard client advisory contacts or agreements.
 - F. All sub-advisory agreements executed with other investment advisers.
 - G. Current fee Schedules(s), if not otherwise stated in advisory contracts or in Form ADV Part II.
 - H. Any power attorney obtained from clients, if not otherwise stated in advisory contracts.

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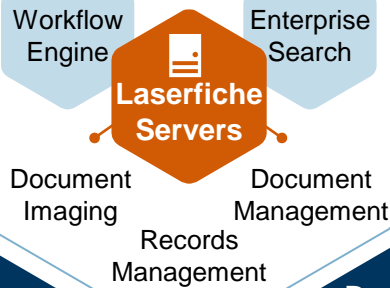
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Laserfiche Content Server



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Laserfiche Workflow + Forms: SQL Power

- **Use Laserfiche Forms as SQL Input Tool**
- **Use Laserfiche Workflow to Update SQL Tables from Outside DBO and Access Tables**

Comprehensive SQL = Powerful Database Lookups

Potential Audits?

- **Do all billed accounts have bills?**
- **Do all taxable accounts have 1099's?**
- **Do all open accounts have a statement for this month? For all periods?**
- **Do all accounts have an account application?**

Value

- ***Compliance***
- ***Staffing Flexibility***
- ***Owner Flexibility***
- ***Firm Capital Value***

