



Financial Services Solutions Brief

Process efficiencies available to the Financial Services industry have been greatly accelerated due to rapid adoption of the Internet and supporting Web applications—enabling financial businesses to make external and internal access to data as simple as logging in through a secure Web interface. Despite the greater speed and access created by Internet-enabled applications, financial companies still cope with increasingly voluminous amounts of paperwork—customer records, transaction receipts, applications, notes, etc. Not only must hard copy documents be maintained for legal reasons, financial businesses are seeking efficient methods of storing, searching, and retrieving information in these documents.

Failure to achieve a secure, searchable solution can mean hundreds of man-hours locating documents, loss of legal hard copies in an unforeseen disaster, expensive storage, or even a potential citation for failure to meet the growing list of government regulatory requirements.

The industry's leading document management solution

Implementing Xerox DocuShare® allows financial services organizations to significantly improve productivity, streamline business processes, and reduce the time and cost of managing paper documents. DocuShare leads the industry in speed of deployment and ease of administration and use, and is the only cross-platform document management solution to significantly reduce IT requirements, resulting in low TCO (total cost of ownership) and fast ROI (return on investment). Tightly integrated with Xerox Document Centre and WorkCentre Pros, DocuShare can manage both hard copy and electronic content with unsurpassed ease and convenience. And with its very low cost of entry and extreme scalability, the superior functionality of the DocuShare solution is available to small and mid-size CPA, brokerage, or mortgage firms, as well as large banks, investment firms, and other financial enterprises.

DocuShare supports heterogeneous platform environments, including Solaris and Linux. It deploys rapidly, is user friendly, offers greater flexibility and control to users, scales farther, and easily manages a broader range of content types through direct integration with desktop applications, imaging software and Xerox multi-function devices.

DocuShare Financial Services Solution Benefits:

- Achieve a fast ROI and a low TCO
- Gain 24/7 access to financial records and information
- Search and access documents from multiple sites, remote locations
- Customize document management around financial processes and requirements
- Eliminate physical paper storage to save office space and costs
- Reduce time and labor to copy, file, and retrieve paper documents
- Support Gramm-Leach-Bliley security requirements
- Extend business continuity and disaster recovery programs
- Digitize critical hard copy files in the event of disaster
- Make the information that powers your business more powerful than ever

"We lost at least 40 file cabinets of critical data in the World Trade Center. We know we need e-filing. We record thousands of deals monthly on paper. We're totally sold on DocuShare. It's easy to deploy, relatively simple to use, and can be configured in a multitude of ways. With DocuShare we can rely on having all our records in digital form that is accessible, searchable, and easy to back up."

—Mark Bramante, Associate Director,
Mizuho Capital Markets Corporation
A member of the Mizuho Group

Realize greater time and cost savings with superb security

Financial organizations ranging from a finance department, to a CPA firm or a global bank can take advantage of DocuShare's extraordinary benefits, including:

- Benchmark ease-of-use, making it simple for an office administrator to scan and store documents or an accountant to share confidential tax documents for review
- Permission controls, Secure Socket Layer (SSL) encryption, and integration with LDAP or Active Directory databases to enforce corporate security policies
- Easily administered permissions, enabling security conscious organizations to implement encrypted access as needed
- Use as a secure off-site repository for digital copies of critical documents, as part of a disaster recovery solution

Benchmark ease-of-use and flexibility

DocuShare is ideal for financial organizations that wish to ensure the protection of valuable data and make it accessible from anywhere in the world. The premier document and content management solution from Xerox, DocuShare is accessed through a simple Web interface and is so easy to use, financial organizations can readily incorporate its highly visible interface into their daily processes.



Achieve compliance with Graham-Leach-Bliley (GLB)

The Graham-Leach-Bliley (GLB) act requires all financial institutions to maintain specific security requirements to protect customer data and confidentiality. DocuShare's security protocols, advanced encryption technologies, and LDAP or Active Directory database integration capabilities enable financial companies to extend their regulatory protection to documents and content stored in DocuShare.

Part of a comprehensive business continuity and recovery plan

While DocuShare can be accessed by thousands of users located all over the globe, businesses can easily monitor the application centrally as part of an overall business continuity solution. All stored documents can be backed up and archived for quick restoration in case of service interruption—of critical importance to financial organizations that must provide 24-hour protection for data and high-levels of content availability. DocuShare's digital storage of hardcopy provides excellent protection in cases of disaster or destruction of paper documents—minimizing risk and saving your organization from the anxiety of knowing that legally-binding copies may exist only on paper.

An affordable, scalable solution

Until recently, implementing a document management solution with DocuShare's advanced capabilities was cost-prohibitive. DocuShare brings improved cost-efficiencies, providing financial organizations of every size a package that is affordable to acquire, cost-effective to administer, and delivers a fast ROI. Many organizations that deploy at a department level experience viral adoption across other business groups, enabling wider acceptance of DocuShare without additional IT time to train or sell the solution to new users. And DocuShare's next-generation programming platform provides the extensibility organizations need to scale with evolving business demands, increasing the solution's value into the future.

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Powerful functionality tailored to organizational needs

DocuShare works closely with financial organizations to meet their unique needs. With a minimal amount of training, financial services professionals and employees can be immediately more productive, more closely integrated into the whole organization, and better able to make swift business decisions. DocuShare continues to develop both our

application and our technology to support the business processes financial services companies will require to remain nimble in the future.

For more information on DocuShare, contact a Sales Representative at 1-800-428-2995, or visit us online at <http://docushare.xerox.com>.

Customer Success: DocuShare in a mid-sized CPA Firm

A fast-growing full-service accounting and consulting firm outside of Boston struggled to find a solution to manage the enormous amount of paper generated by their business. One of the firm's partners associated looking for a file with "going into a black hole." The company needed to find a cost-effective and fast solution to scan their paper documents and securely store them for rapid access and retrieval, to bring more value to their customers and create additional revenues.

The firm installed a Xerox Document Centre 460 and integrated it with DocuShare to enable quick, user-friendly access and document retrieval. The new solution immediately eliminated 75% of the overhead for dedicated personnel to copy, print, and file documents. Executives were now able to respond to customers in real-time, easily searching for documents using keywords. The entire firm experienced an up-tick in productivity, and the solution proved to be so powerful, the company began offering its clients hosted safekeeping of documents such as tax returns, lending contracts, and mortgage documents for an additional revenue stream.

Customer Success: Taking DocuShare to the enterprise

A large financial services firm that manages legal documents with very tight security first acquired DocuShare to support a few specific workgroups, topping out at 5,000 users spread across 10 countries and dozens of business groups. As the enterprise realized the measurable advantages of using DocuShare to eliminate paper storage and enable easy management and retrieval of critical content, and validated the solution's excellent security capabilities, it decided to deploy DocuShare worldwide, and now plans to grow the number of users up to 600% over the next two years.

The enterprise was eager to extend DocuShare over the larger user base because it wished to bring these benefits to additional users, and also had to ensure compliance with the recently published Gramm-Leach-Bliley Act company-wide. DocuShare will provide secure document management for cross-functional teams, acting as a repository for organizational memory among distributed business groups, while being centrally managed to enable monitoring in cases of disaster recovery.

Customer Success: Going digital in the wake of September 11

A derivatives trading group of a worldwide bank has adopted DocuShare because it suffered catastrophic loss when the World Trade Center was attacked on 9/11. The group lost file cabinets housing over 50,000 paper documents, including legal trading records. Even with data backup for these transactions, the organization vowed never to risk the loss of paper records again. After reviewing a number of solutions, they selected DocuShare to begin taking their records digital. The organization felt that DocuShare's extensibility would help them to develop the solution as needed, eventually roll it out to offices worldwide, and address new government regulations they knew were down the road.