

Arius BarcodeAdvantage™

Document Imaging and Management Solution for Financial Services

PRODUCT OVERVIEW

REDUCE DOCUMENT MANAGEMENT COSTS

- Deploy with zero up-front software costs
- Submit and access documents remotely
- Streamline document capture, imaging and scanning

RAPID DOCUMENT PROCESSING AND RETRIEVAL

- Perform efficient account openings
- Index and search documents on-demand
- Automatic filing using barcodes
- Perform easy document imports and exports
- Access documents remotely
- Optimize workflows

ENHANCE COMPLIANCE PRACTICES

- Enhance compliance policies and practices
- Ease regulatory audits
- Setup unique user access rights
- Automate report tracking production

IMPROVE SYSTEM RESILIENCY

- Store all file types
- Automatic failover and replication
- Enterprise control of documents

Arius' BarcodeAdvantage is a sophisticated document imaging and management solution designed for the financial services industry. While supporting integration with leading back-office systems and infrastructure, BarcodeAdvantage can be deployed quickly with zero up-front software costs, minimal services and monthly fees based on the number of new documents managed by the system.



BarcodeAdvantage provides freedom from document management.

BarcodeAdvantage has been deployed and is currently in use by several of North America's leading wealth management firms. BarcodeAdvantage provides on-line brokers, full-service brokers, mutual fund dealers, institutional money managers and clearing firms with the technology needed overcome the challenges associated with managing large volumes of documentation in an era of evolving and changing regulatory requirements. BarcodeAdvantage will reduce the costs associated with document management, facilitate rapid document processing and retrieval, enhance compliance practices and improve system resiliency.



Reduce costs associated with document management

Leveraging an easily accessible central digital archive is exponentially more efficient than time and labor intensive process of requesting the physical documents from off-site or branch storage, assembling, copying and distributing material and finally refiling to original location.

- Zero up-front software licensing costs – Convenient “pay-as-you-grow” pricing means that BarcodeAdvantage can be deployed in a few days with zero up-front software costs and minimal service fees. The monthly software licensing fees are based on the number of new documents managed by the system.
- Submit and access documents remotely – Leveraging fax and imaging technology, Document Advantage enables branch and remote offices to quickly and easily submit new client documents to the repository. This can drastically speed account opening and approval processes as well as reduce expenses including mailing costs and labor.
- Streamline document capture, imaging and scanning – With support for scanners, fax servers and an easy to use web interface, BarcodeAdvantage streamlines the capture and imaging of all paper and electronic documents. Irregular shaped materials such as drivers licenses can also be autographed and uploaded through the web based application.



Enhance compliance practices

With BarcodeAdvantage, reduce the burden of regulatory audits and reduce the time spent on keeping up to-date with evolving and changing compliance standards . Within minutes, BarcodeAdvantage can produce a CD of all documents requested in a regulatory audit, saving valuable time and money.

- Enhance compliance policies and practices - BarcodeAdvantage delivers quick access, a single point of control and improved security of documentation enabling enhanced compliance policies and practices. A centralized digital archive will reduce the tedious and expensive task of requesting paper documentation from off-site storage while maintaining an alternate backup of all documents.
- Ease regulatory audits - Within minutes, BarcodeAdvantage can access and produce documents. Robust indexing delivers electronic copies matching a specific user-defined query. Leveraging an easily accessible central digital archive is more efficient than time and labor intensive process of requesting the physical documents from off-site or branch storage, assembling, copying and distributing material and finally refiling to original location.
- Setup unique user access rights - BarcodeAdvantage utilizes the robust security provided by Arius' OpenAdvantage® software allowing layers of permissions to be set. Each user is assigned roles setting their system access privileges including system functionality and data.

Arius' BarcodeAdvantage software is used by several **leading financial service companies** across North America.

Rapid document processing and retrieval

With BarcodeAdvantage, paper documents are scanned, stored and organized using barcodes – transforming a paper trail that often travels between branches and head office storage into a rapidly accessible, centrally managed, digital document archive. BarcodeAdvantage streamlines workflows and drastically reduces the costs associated with document management including mailing and labor.

- Simplify account openings – BarcodeAdvantage’s document management system can greatly speed up account openings by simplifying processes and eliminating wait times associated with moving paper documents between departments and branches.
- Automatic filing using barcodes – BarcodeAdvantage automatically indexes, organizes and files documents in the repository. Barcodes and cover pages are produced capturing the client’s name, document type, document number and number of pages.
- Convenient document import – Bulk import capabilities simplifies the migration of paper-based historical documentation. A financial services firm may choose to outsource the scanning and indexing of paper documents onto DVDs which can then be directly imported into the BarcodeAdvantage archive.
- Perform easy document exports – All documents and images within the system can be easily retrieved, printed, or exported into PDF format to ease auditor and compliance requests.
- Indexing and searching on-demand – Rapidly retrieve documents for day-to-day operations, or large scale projects such as an audit, using BarcodeAdvantage’s powerful search capabilities. Access search and repository indexes through a customizable search that typically includes the last name, client ID, account short name.

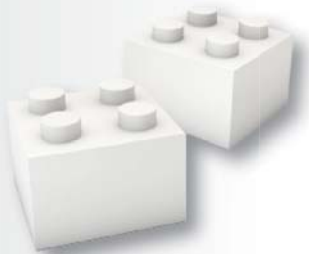


Improve system resiliency

Scan, store and even organize documents using barcodes in one central location. BarcodeAdvantage will increase the confidence in your document management processes by:

- Storing all file types – BarcodeAdvantage supports all types of documents including the New Account Application Form (NAAF), government issued documents, as well as third party documentation.
- Providing high availability – Automatic failover and replication offer data security and system availability in the event of a failure.
- Providing enterprise control of documents – BarcodeAdvantage delivers a secure, centralized document repository for all documentation which can be accessed for import or export at any time.





Arius OpenAdvantage Suite

BarcodeAdvantage is part of the Arius OpenAdvantage Suite. Arius OpenAdvantage enables financial services firms to increase operational efficiency, improve client services and reduce costs by providing a superior, personalized account opening experience. The benefits of BarcodeAdvantage can be seamlessly integrated with OpenAdvantage by deploying additional modules from the OpenAdvantage Suite.

- ReportingAdvantage – BarcodeAdvantage automates report tracking production by dramatically simplifying compliance issue identification. There are more than thirty customizable report templates including account audit log and missing documentation report.
- ApprovalAdvantage – BarcodeAdvantage also integrates with ApprovalAdvantage to speed and simplify end-to-end Account Opening process. Traditionally, the approval process has been high-touch based on the costly couriering of physical documentation from advisor to branch manager and eventually to head office – especially when errors are uncovered in late stages at head office. Using BarcodeAdvantage and ApprovalAdvantage, account opening documents can be transmitted electronically ahead of the paper work. The paper work can be scanned to validate receipt and the account approved before the paperwork is physically transferred to head office.

Arius Professional Services

Due to our passion, experience and proven success, Arius has been the chosen Enterprise “Account Opening” platform and professional services partner of several leading North American financial services firms. We understand the unique needs of varying business segments including retail brokerages, on-line brokerages, mutual fund dealers and clearing firms, and can tailor a solution to fit your companies’ individual needs. Our services include performing a thorough needs analysis, architecture design and implementation, testing - through to post-deployment technical support and training. Our industry recognized solutions are compatible with back-office systems providing seamless workflows, while minimizing crucial compliance errors.

About Arius Software

Arius Software is a leading provider of account opening and document management solutions for financial services firms. Our flagship product OpenAdvantage, enables wealth management firms to attract new customers, increase operational efficiency and reduce costs by creating a superior personalized account opening experience. Arius has been the chosen Enterprise Account Opening platform and professional services partner of leading North American financial services firms. Arius Software is a privately held software company based in Waterloo Ontario.

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Instant access to client documents

