

# SEAL FOR WEALTH & INVESTMENT MANAGEMENT

## 01 – THE CHALLENGE

Regulatory compliance continues to grow more challenging with the introduction of new and changing laws such as Dodd-Frank and ERISA. In many cases, new mandates require firms to review, analyze and identify the relevant terms and provisions held in their contracts. The Seal Platform finds all your contracts and tells you exactly what's in them. This means deeper insight, less risk, and better business decisions.

## 02 – STAYING COMPLIANT

Changing regulations and compliance requirements require an organization to perform a complete manual review of their contracts. Some companies outsource the review process to low-cost, offshore services to minimize costs and personnel resources. This means sending confidential documents, including IMAs, ISDAs, and CSAs outside of the organization, increasing the risks of security breach.

Organizations may also use their internal resources for manual contract review, but this ties up highly qualified legal professionals in time consuming and expensive document assessments. Using multiple reviewers to subjectively access documents increases the risk of inconsistencies and costly errors.

An organization might undergo a full manual review for a particular regulatory provision, but when the regulatory environment changes in the future, another full review is required.

The document review processes must be far more efficient and less costly. It needs to use standard and objective criterion for evaluating documents for critical contract terms, incentives, exposure, regulatory compliance, and errors. It also needs to have a discovery aspect upfront, so organizations can more rapidly locate all their contracts from across multiple departments, repositories and systems.

## 03 – THE SOLUTION

For these reasons, Seal Software created the Seal Platform for Wealth and Investment managers. The platform works alongside in-house departments to automate the discovery of contract documents and perform a secure review and analysis of all data captured within contract documents. Our advanced classification and search technology allows organizations to understand what specific types of contracts are being held and includes a fully searchable repository that provides access to the complex terms and conditions that are contained in them.

## 04 – HOW IT WORKS

The Seal platform tracks down contract files of various document types across an organization's hard drives, network drives, ECM, CLM, CRM, file shares, etc., and copies them onto a secure, searchable central repository. From there it "reads" the documents, identifying over 100 key terms, provisions and conditions then displays them for review in a summary interface.

Users have the capability of searching for non-standard clauses by “teaching” the system new terms, conditions, and standards based on the organizations specific agreement provisions. It expertly tracks and highlights deviations from standard templates and potential relationships to other active contracts. The platform becomes increasingly more efficient and accurate over time, by learning the specific terms and provisions commonly used by that organization with their counterparties and clients.

## 05 - THE RESULT

Seal Software has helped many large financial service organizations find, and determine what is hiding in their contractual data. We fully automate the review process, dramatically reducing cost, time, subjectivity, and security risk of manual reviews. As the regulatory and business landscape changes, an organization can quickly review the contracts on an ongoing basis, always staying on top of all provisions, obligations, and risks - no matter what.

To learn more, visit [www.seal-software.com](http://www.seal-software.com)

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