



# Are Your Investment Services Keeping Up?

Digitech Systems technologies help investment firms to simplify information workflows and optimize day-to-day operations.

Investment services firms, from investment advisors to broker-dealers, face growing client demand for faster, more accurate, accessible service. Manual processes and outdated systems create delays and compliance risks, but Artificial Intelligence (AI) and automation promise faster workflows and better client satisfaction.



## How do Sys.tm® and the PaperVision® product suite help investment firms?

- Automate document processing and data extraction for better access to information.
- Strengthen compliance and security by eliminating paper records and files.
- Reduce operating expenses through smart, AI-enabled automation.
- Turn faster service into happier clients.

## Streamline financial data for better decisions:

With AI-driven automation, Digitech Systems technology empowers investment firms to handle growing data efficiently while improving risk management and speeding service delivery. These capabilities help firms run more efficiently while staying compliant and responsive to client and regulatory changes.



The SEC has taken action against a number of broker-dealers, investment advisers, and other financial firms for recordkeeping gaps, leading to substantial penalties and underscoring compliance risks. “As today’s enforcement actions against more than two dozen firms reflect, we remain committed to ensuring compliance with the books and records requirements of the federal securities laws, which are essential to investor protection and well-functioning markets.”<sup>1</sup>

— Gurbir S. Grewal, Director of the SEC’s Division of Enforcement.

1: Retrieved from: <https://www.sec.gov/newsroom/press-releases/2024-98>





# Modernize Information Management for Your Firm

What if your firm could manage financial information more efficiently while maintaining compliance and improving client responsiveness? Sys.tm and the PaperVision product suite enable investment firms to manage financial data securely while automating workflows, thereby reducing operating expenses and improving data accuracy and client service.

## **Automate Processes for Better Access to Information**

How much time does your team lose manually processing forms and client onboarding documents?

Sys.tm® Intelligence uses private AI to organize and sort documents automatically and to extract information leading to more accurate data.

## **Strengthen Compliance and Security Through Digitization**

Are you confident your sensitive financial records meet regulatory requirements? Investment firms face strict oversight under GLBA, SOX, SEC, and FINRA rules. Digitech Systems products enable you to maintain security, accountability, and proper retention.

## **Reduce Operating Expenses with Smart, AI-enabled Automation**

How much could you save with automation? Sys.tm® Automations offers cloud-based Robotic Process Automation (RPA) to handle routine data tasks, and Sys.tm® Flows automatically executes processes to lower operating expenses and free staff to focus on revenue-generating activities.

## **Turn Faster Service into Happier Clients**

Is information getting in the way of excellent client experiences? With Digitech Systems, advisors can instantly retrieve client documents and compliance files. Fast, accurate access to information enables quicker decision-making and improves client satisfaction during critical financial interactions.



Since implementing PaperVision® Enterprise, MacLean Financial Group has seen “amazing” results. The number of clients served has nearly doubled since the introduction of PaperVision Enterprise and PaperFlow™. Today, MacLean Financial serves over 460 clients, and revenue has increased by more than 20% since implementation.<sup>2</sup>

~ **Gertie Green, Vice President of Operations**

2: Retrieved from: <https://cdn.digitechsystems.com/wp-content/uploads/MacLean-Financial-Case-Study.pdf>