

**Why Do Investment Banks Need to Manage the Content Associated with Their Deal Management Process?**

A demanding regulatory environment imposes document and records management practices on financial institutions

Organizations need a quality-controlled deal process that allows them to focus on their business

Retrieving and leveraging document-based knowledge makes the deal development process more efficient and effective

# Manage Deal-Related Documents and Correspondence

**Microsoft**  
**GOLD CERTIFIED**  
Partner

# Improve Customer Responsiveness and Shorten the Deal Cycle

Investment banks can improve customer responsiveness and shorten the deal cycle by leveraging technology that makes the deal management process more efficient.

Investment banks must balance the demands of their clients with regulatory compliance and good governance. Investment Banking activities require flexible solutions that help organizations improve customer confidence and reduce risk.

The deal management process presents significant challenges due to the fast-paced, competitive nature of the market. Organizations need to make processes more efficient and consistent, managers need to have access to reports and controls, teams need to streamline the review and approval processes, and bankers need an intuitive way to manage complex sets of documents.

Open Text Deal Management solution supports investment banking teams by providing an integrated work environment to build relationships, win business, close deals, and support post-transaction activities. Teams can work across multiple organizations, in multiple geographies, and around the clock for faster deal closing times and higher deal throughput. Based on Livelink ECM – eDOCS™ Deal Management provides a secure collaborative environment for internal and external participants to work together throughout the deal negotiation process.

## Compliance Requirements Drive Deal Management Solutions

The primary driver for investment banks to implement a Deal Management solution is the increasing risk associated with non-compliance with Financial Services industry regulatory requirements. Regulations require broker-dealers to create and preserve, in an easily accessible manner, a comprehensive record of each securities transaction they affect and of their securities business in general. These requirements are integral to the investor protection function because the preserved records are the primary means of monitoring compliance with applicable securities laws, including antifraud provisions and financial responsibility standards. Recent events involving the deletion of emails by broker-dealers have affirmed the need to have measures in place to protect record integrity.

## Content Management Supports the Deal Process

Livelink ECM – eDOCS is an integrated enterprise content management platform that enables investment banking organizations to unlock the value of deal-related content and provides a foundation for establishing process-centric deal management. Livelink ECM – eDOCS supports deal teams at every phase of the deal negotiation process, from establishing the relationship to winning the business. Livelink ECM – eDOCS addresses the entire information lifecycle of deal-related documents.

- **Establish and Build Relationships** — Deal Management helps teams strengthen relationships with clients and solidify their role as a trusted advisor. Organizations capture and share the knowledge they have about their client in the deal management repository and are able to use that information throughout the relationship building process.
- **Winning Business** — Livelink ECM – eDOCS provides a platform for deal teams so that they can respond rapidly to opportunities. Rather than managing the materials used to present and win the deal through a series of email threads and file servers, teams can work securely in a content-based collaboration environment.

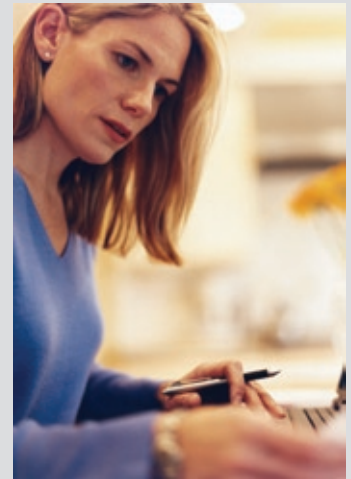
- **Investment Deal Execution** — Deal teams need to create filings, manage pricing, raise capital, govern negotiation, and ensure closing. Open Text Deal Management solution provides a repository to collect, manage, and store all of the required documents, including email communications, involved in the execution of an investment deal.
- **Post-Transaction** — The closing of the deal does not end the needs of the organization; investment banks need to retain records, manage invoicing, create product/idea case studies, and be prepared for client debriefs. Once the documents are final, they are saved as records according to the organization's retention schedule and in accordance with compliance requirements.

### Integrated Work Environments for Deal Teams

Investment banking activities are fast-paced and complex. Deal teams need transparent, easy-to-use solutions that are customized to fit the way they do business. This enables organizations to both improve efficiencies and meet regulatory requirements. Livelink ECM – eDOCS provides deal teams with an integrated work environment that includes email management, deal team collaboration, deal process workflow, desktop application integration, executive dashboard monitoring, and records management.

Email management allows deal teams to capture, manage, preserve, and leverage all deal-related email correspondence with their clients. Email messages are profiled into the deal management repository in a non-intrusive manner either directly from the email client or based on rules setup at the email server level. Client correspondence can then be associated to other documents in the repository to create a more complete view of the deal.

Livelink ECM – eDOCS™ Collaboration allows dispersed, cross-functional deal teams to quickly establish collaborative project workspaces, brainstorm ideas, set timelines, share information, clarify objectives, and manage the deal process. The powerful capabilities of Collaboration allow for global virtual teams to be formed and discussions to develop around key issues. Investment banks can provide an intuitive environment for project participants to publish, store, control, distribute, and share content, experiences, and knowledge around the deal.



### Why Do Investment Banks Need to Manage the Content Associated with Their Deal Management Process?

**A demanding regulatory environment imposes document and records management practices on financial institutions**

**Organizations need a quality-controlled deal process that allows them to focus on their business**

**Retrieving and leveraging document-based knowledge makes the deal development process more efficient and effective**

**Microsoft®**  
**GOLD CERTIFIED**  
Partner

Whether creating a presentation, deal contract, or business plan, deal team participants can initiate a review or approval process right from their desktop. Livelink ECM – eDOCS™ Workflow helps streamline the management process associated with winning and closing the deal. Workflow helps significantly reduce the deal closing time by making sure projects are on track and the proper approvals have been obtained.

Livelink ECM – eDOCS integrates with desktop applications including word processing, spreadsheets, and graphics applications so documents can be easily saved to the deal management repository. Users can still employ the interface they are most comfortable with, including Microsoft® Outlook® or a Web Browser.

Investment banks can consolidate both structured and unstructured data in a single view and augment that data with powerful search capabilities for a complete knowledge solution. Dashboards offer tailored views that allow managers and executives to monitor deal activity and form a high-level view of operations down to a more granular level of detail.

Livelink ECM – eDOCS provides a secure, standards-compliant records management solution that works in tandem with the deal management repository. When combined with records management best practices, investment banks can establish comprehensive lifecycle management of contracts, emails, and other deal-related information. Livelink ECM – eDOCS provides a fluid process for the protection of content assets against risks such as litigation or disaster, while satisfying complex regulatory requirements.

## Solving the Complex Challenges with Content-Centric Solutions

The Open Text Deal Management solution provides investment banks with an enterprise content management platform to manage the documents and correspondence associated with the deal management process. Implementing a content-centric solution to address the challenges of capturing, managing, and storing deal-related information allows deal teams to focus on winning and closing the deal. Livelink ECM – eDOCS creates an easy-to-use and intuitive work environment while addressing the security and records requirements transparently to the user.

Investment Banking organizations are able to comply with the increasing regulatory requirements around investment deals and the documents and records associated with such deals. They are also able to centralize the organization's knowledge in a central repository that can then be reused or repurposed by other knowledge workers. Open Text Deal Management solution provides an end-to-end solution to support deal teams throughout the deal negotiation process.



### Livelink ECM – eDOCS Addresses Deal Management and Provides a Platform Upon Which Organizations Can:

**Create, manage and share documents associated with clients and investment deals**

**Capture and secure deal related client correspondence**

**Leverage deal management experience by repurposing knowledge**

**Provide an executive overview of deal related information**

**Satisfy deal management record retention requirements**



Sales	Americas	Europe	Asia/Pacific	
www.opentext.com sales@opentext.com	United States 100 Tri-State Int'l Pkwy Lincolnshire IL 60069 Phone: 847-267-9330 Fax: 847-267-9332	Germany Technopark 2 Werner-von-Siemens-Ring 20 D-85630 Grasbrunn Phone: +49 89 4629 0 Fax: +49 89 4629 1199	United Kingdom Grosvenor House Horseshoe Crescent Beaconsfield Buckinghamshire HP9 1LJ Phone: +44 1494 679700 Fax: +44 1494 679707	Australia Level 12 65 Berry Street North Sydney, NSW 2060 Phone: +61 2 9026 3400 Fax: +61 2 9026 3455
North America Sales 1-800-499-6544	Toll Free: 1-800-538-7723			
International Sales +800 4996 5440				

If you're an Open Text partner or customer, visit <http://online.opentext.com> for more information about this and other Open Text solutions.

Open Text is a publicly traded company on the NASDAQ (OTEX) and the TSX (OTC).