Berkman | Solutions

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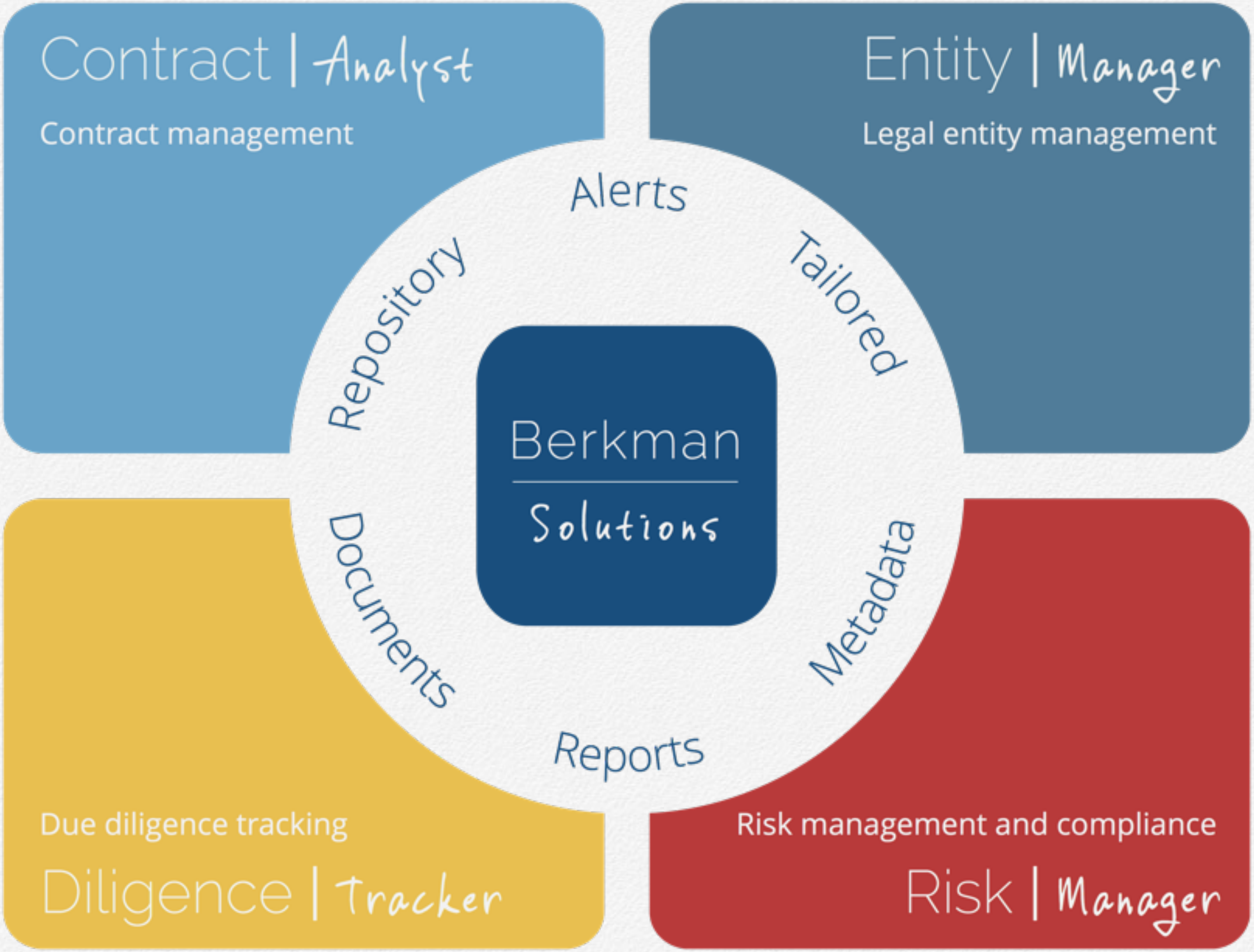
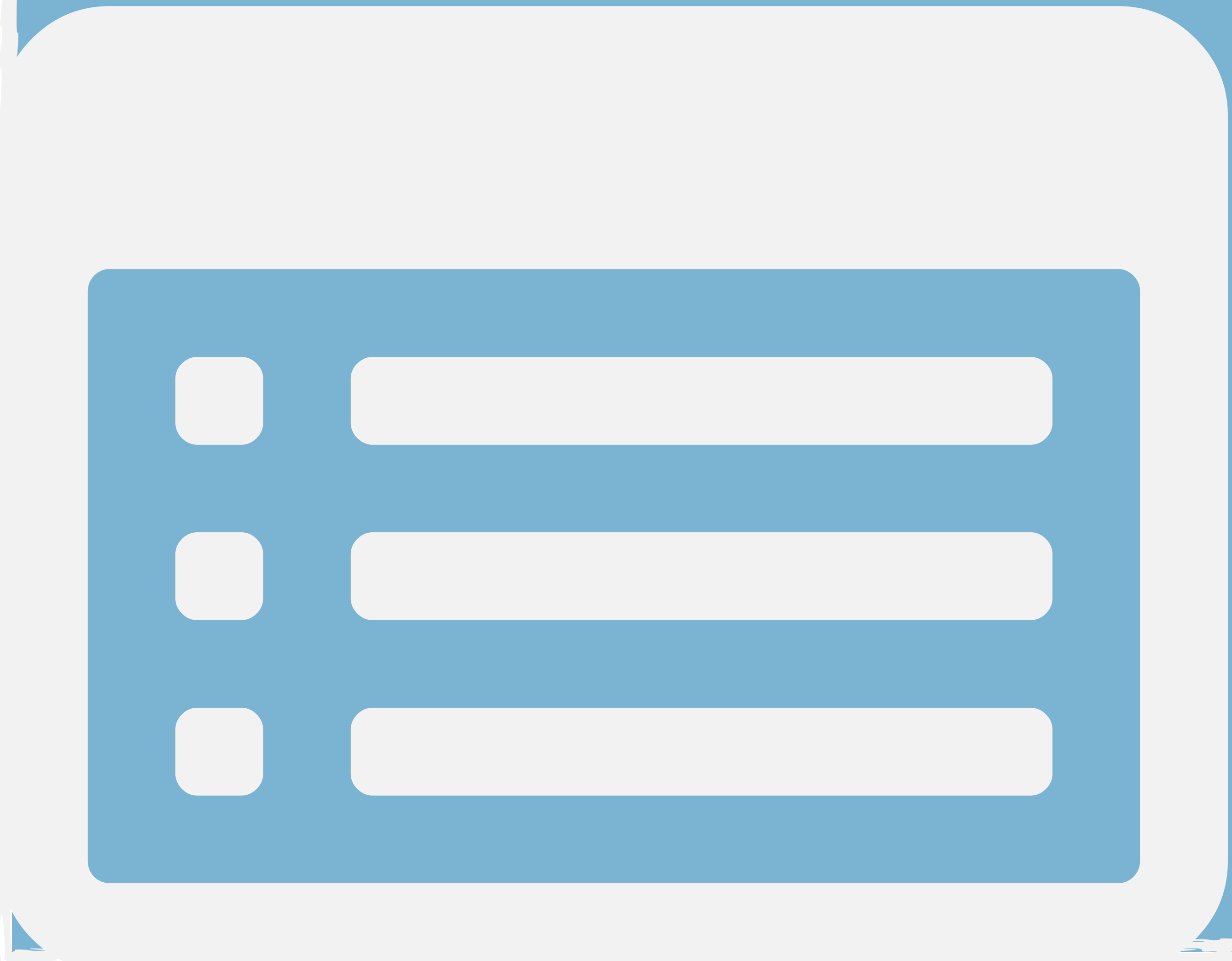
Compliance & **legal risk** solutions

Manage contracts and legal entities, track due diligence, and assess risk and compliance with software and expertise from Berkman Solutions.


Contract | Analyst
Contract management
Entity | Manager
Legal entity management
Alerts
Repository
Tailored
Berkman
Solutions
Documents
Metadata
Reports
Due diligence tracking
Diligence | Tracker
Risk management and compliance
Risk | Manager

Contract | Analyst



Contract Analyst is contract management software designed to provide flexibility and control of all types of contracts across industries and functions. Contract management is an integral part of the Berkman Solutions suite of products for governance, risk, and compliance.

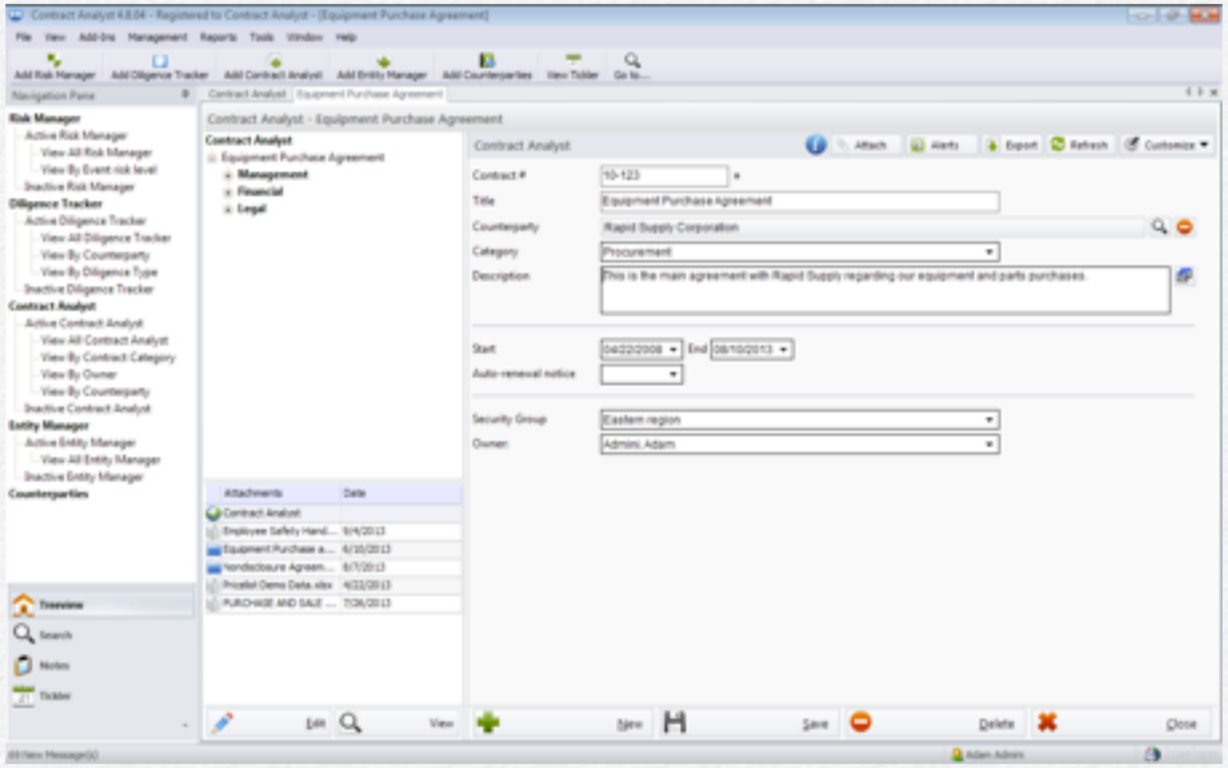
Contract management

The Value of Contract Analyst

- One repository for all contracts
- Never miss another deadline
- Easily link counterparties and contracts
- Insight into the contract portfolio

Overview

Contract Analyst manages the entire contract portfolio and each contract through its entire lifecycle. All contract documents and related data are stored together: amendments, exhibits, schedules and related information. Automatic notifications eliminate concerns about expiration dates and forgotten auto-renewal provisions.



Contract summary screen

Features

Counterparties

Manage counterparties separately from contracts. This feature allows you to easily assign multiple contracts to one counterparty. You can also use this feature to perform vendor management functions.

Expiration dates

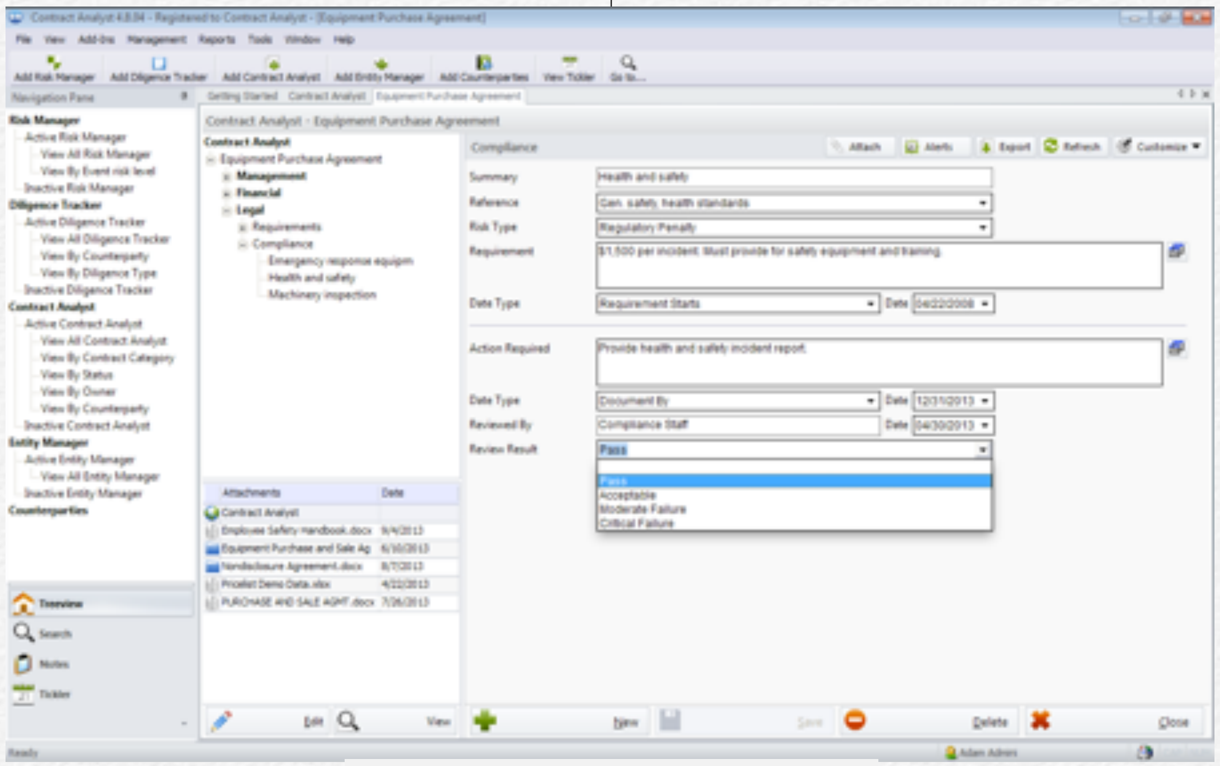
Easily track contract expiration dates and use Automated Alerts to notify the individuals or groups about expiration dates.

Auto-renewal notifications

Receive Automated Alerts about contracts with auto-renewal provisions, so that the organization can decide whether to let the contract auto-renew before the notice to terminate is due.

Lifecycle events

See the entire history of a contract at a glance. No more shuffling through files or wondering if the latest amendment is in the right place.



Compliance review screen

Categorize contracts

Categorizing contracts consistently and accurately means rapid access to the agreements that matter.

Contract Analyst comes with standard contract categories, which you can customize.

Compliance reviews

Compliance reviews of counterparties and internal operations improve the odds that compliance officers and lawyers will identify issues before they become problems.

Contract metadata

Contracts with significant strategic value or high risk require more careful management than routine, low impact agreements.

Contract Analyst provides the tools to capture contract details to drive alerts and reports. Contract Analyst is highly scalable for tracking both simple and complex contracts.

Entity | Manager

Entity Manager is legal entity management software designed to provide flexibility and control of business entities, such as corporations, partnerships, limited liability companies (LLCs), and more.

Legal Entity Management

The Value of Entity Manager

- **All legal entity information and documents in one place**
- **Automated alerts for jurisdictional filing requirements**
- **Track compliance and legal tasks**

Overview

Legal entity management requires detailed tracking of jurisdictions, officers, directors, meetings, minutes, registrations and ownership. Lawyers, paralegals and legal assistants can provide more transparency and simplify legal entity management with Entity Manager from Berkman Solutions.

Features

Unlimited entities

Store and manage as many legal entities as you want. Entity Manager places no licensing limit on the number of legal entities you can manage.

Flexible entity types

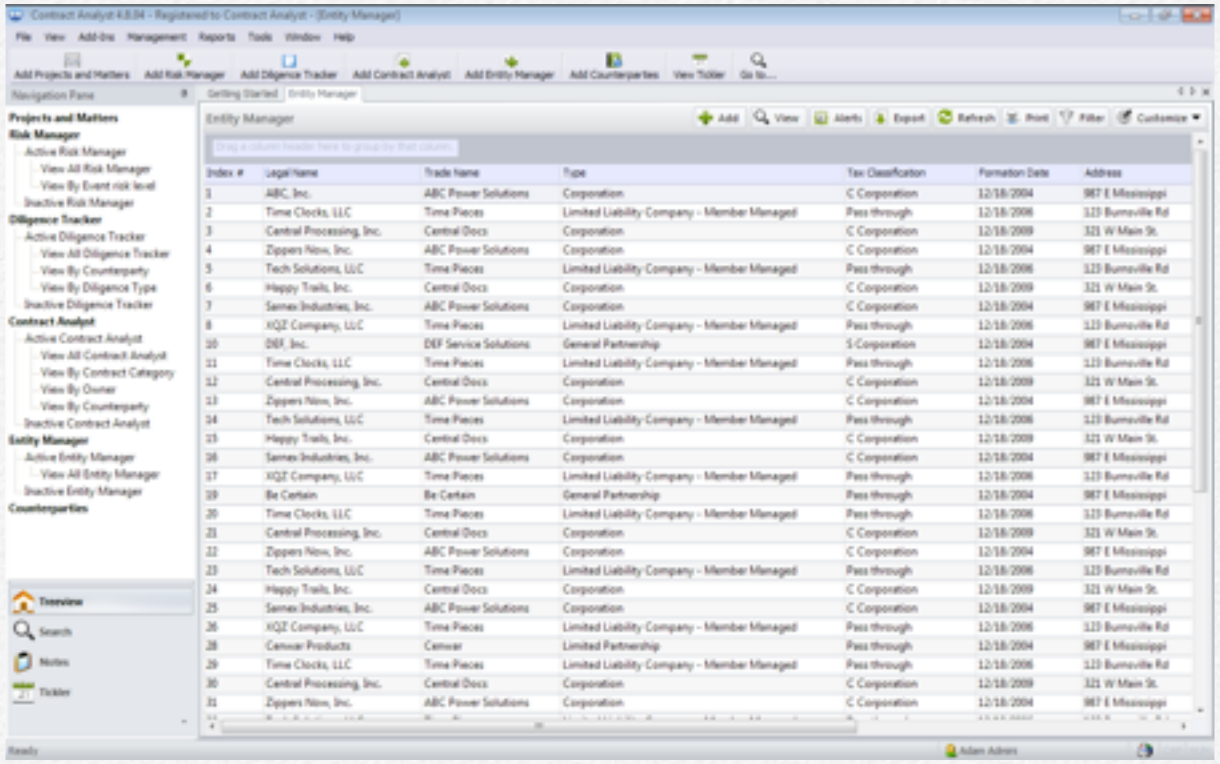
Entity Manager comes preconfigured with standard legal entity types. You can easily add, edit or delete entity types with Entity Manager.

Automatic notifications

Receive Automated Alerts about important entity dates such as annual report filing dates, meeting notices, and more.

Registration jurisdictions

Track all foreign and domestic jurisdictions in which entities are authorized or licensed to do business. Tailor Automated Alerts for each jurisdiction's requirements to keep entities in compliance.



Entity register screen

Compliance deadlines

Entity Manager automatically notifies lawyers, paralegals, legal assistants, and compliance officers of those key filing dates.

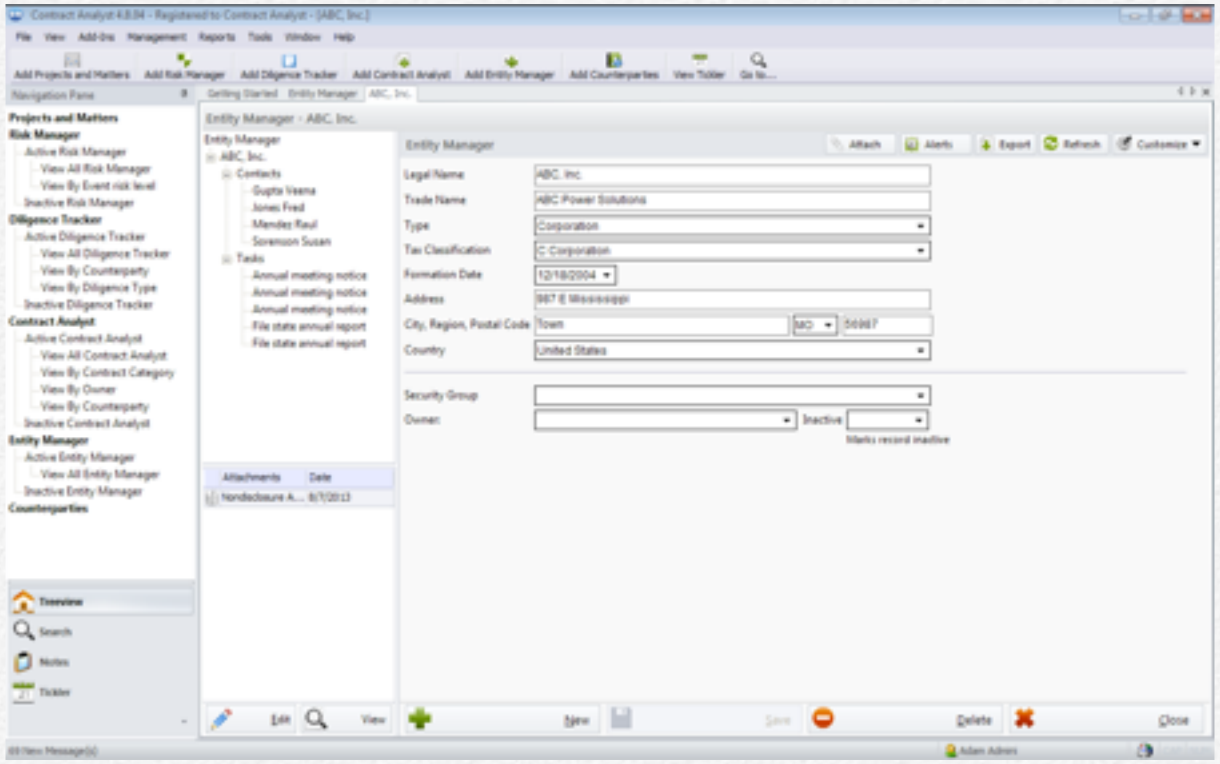
Corporate secretary

Entity Manager can notify shareholders, officers and directors of meetings - along with lawyers, paralegals and legal assistants - automatically. Entity Manager also supports any custom task related to legal entities.

Officers and directors

Effective legal entity management requires accurate and up-to-date information about officers and directors. Beyond demographic information, it is important to know about ownership interests, committee assignments, and tenure.

Entity Manager givers lawyers, paralegals, and corporate secretaries the tools to easily update and track officers and directors.



Entity summary screen

Diligence Tracker

Diligence Tracker is due diligence software designed to improve the consistency, quality, and depth of due diligence in many situations.

Due Diligence Tracking

The Value of Diligence Tracker

- **Consistent and thorough due diligence checklists**
- **Manage due diligence process and internal discussions**
- **Reuse diligence discovery in other parts of the organization**

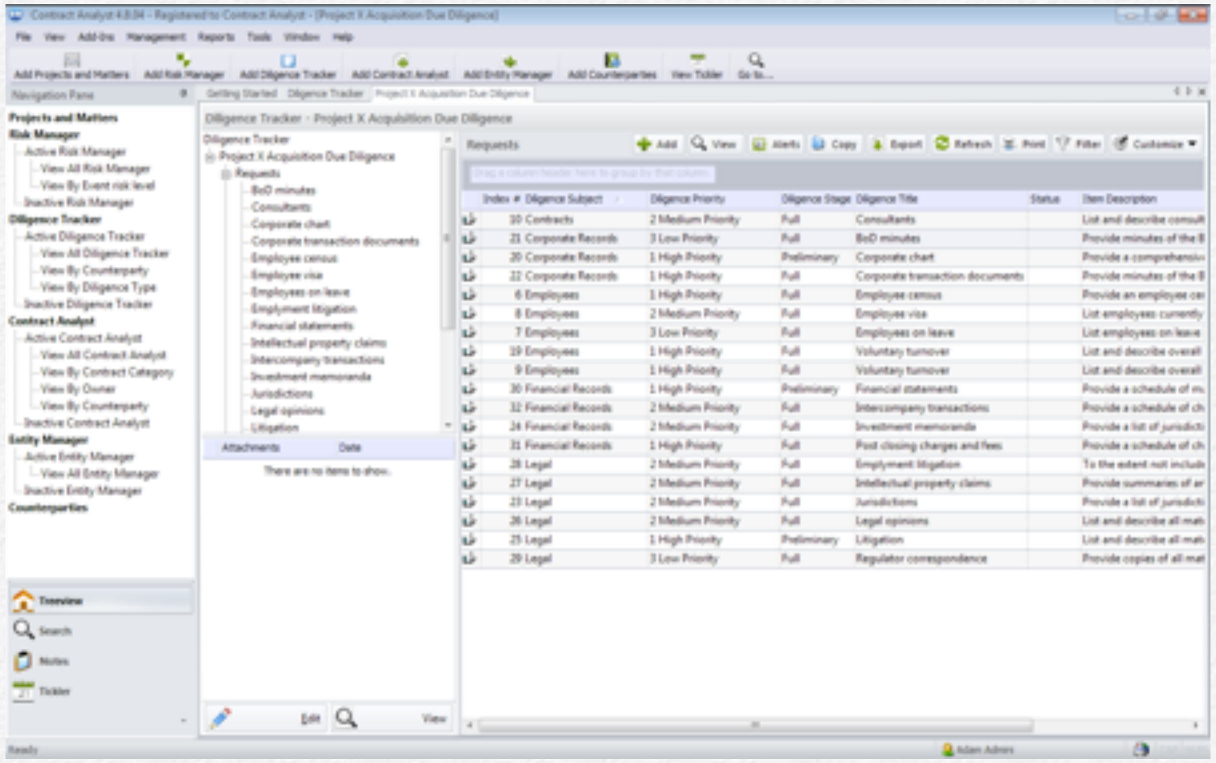
Overview

Berkman Solutions' Diligence Tracker easily creates and tracks due diligence requests from the simple to the complex. Diligence Tracker fully integrates with the Berkman Solutions suite so projects move directly from diligence to contract.

Features

Library of diligence items

Diligence Tracker comes with due diligence request templates with standard requests for a wide variety of transactions and



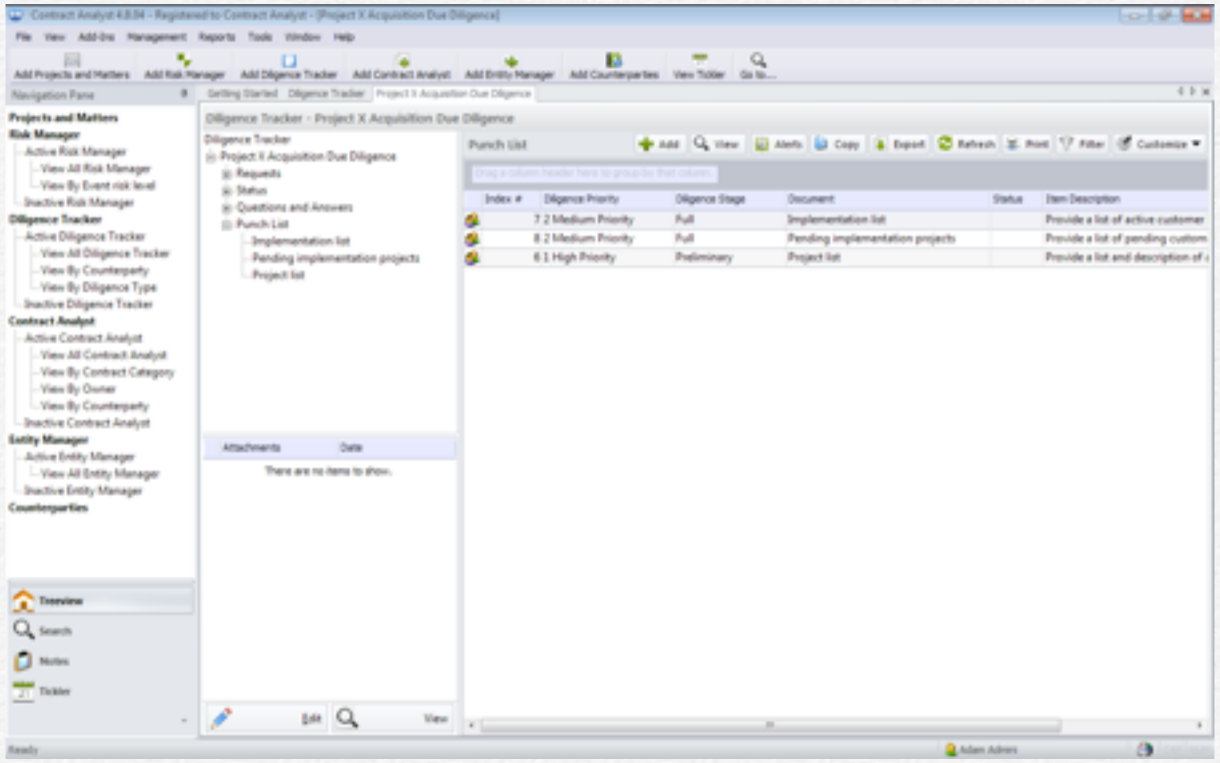
Follow up items screen

projects. You may freely edit or delete standard items from the templates.

Flexible output options

Export due diligence requests in a variety of formats depending on the situation, the other party, and your preferences. Diligence Tracker can send a complete set of diligence requests to the other party directly.

Exporting due diligence requests is as simple as selecting the diligence request from the reporting tool in Diligence Tracker. You can export in PDF, CSV (for spreadsheet applications like Microsoft Excel), HTML, and other formats.



Follow up items screen

The built in report engine for Diligence Tracker allows you to design the diligence requests with the formatting and layout you choose. Diligence Tracker supports a large number of fonts, colors, and even images.

Automatic notifications

Receive Automated Alerts about important dates and activities. When a member of your due diligence team creates a follow up question based on a due diligence answer, for example, you can receive an automated alert.

Track replies

Diligence Tracker provides the ability to store documents, data, reports, and other answers to due diligence requests with the request record, providing instant context for the answer.

Risk | Manager

Risk Manager is risk management software designed especially for operational, legal, and compliance risk management.

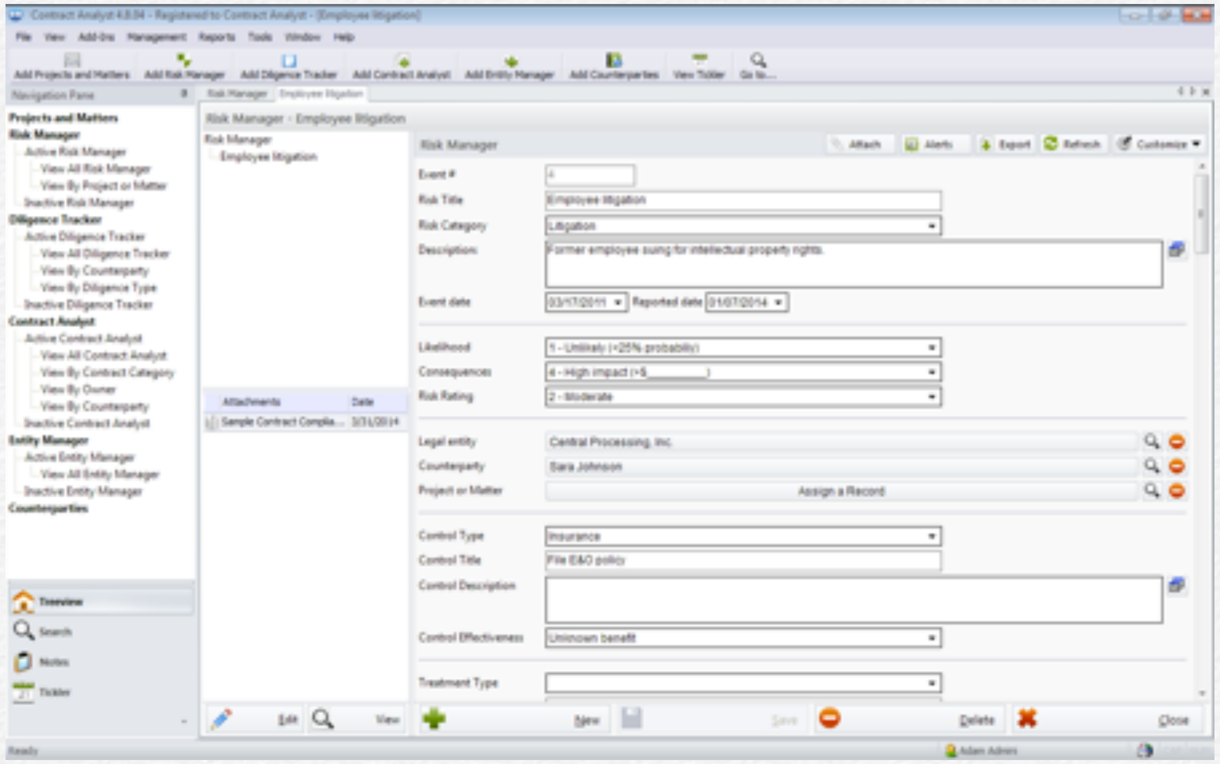
Compliance and risk management

The Value of Risk Manager

- Perform compliance reviews
- Track compliance and risk over time
- Improve business with qualitative risk assessment
- Understand the risk profile for the organization

Overview

The importance of operational risk management cannot be overstated for organizations of all sizes competing in every industry. Risk Manager simplifies the process of implementing a risk management framework for the first time. Risk Manager leverages global standards and best practices to help organizations adopt a qualitative risk management methodology, the first step toward a quantitative framework.

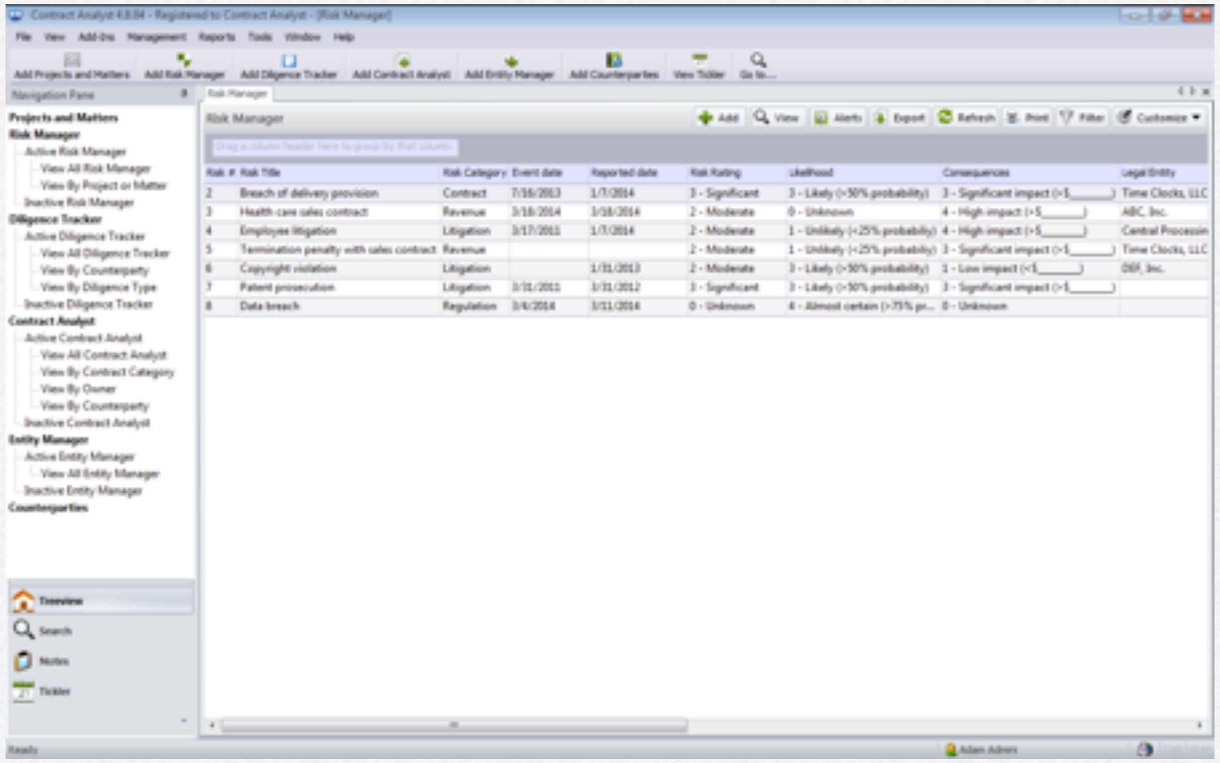


Risk item screen

Features

Risk register

Keep all risks in one central repository: a risk register. The risk register can serve a single department, division, or an entire organization. The risk register is a critical step in better risk management.



Risk register

Compliance

Risk Manager allows compliance officers, general counsel, contract managers, and others to monitor compliance with external legal requirements. Federal, state, and local laws are stored in Risk Manager and linked to risk events or contracts for compliance reviews.

Risk assessment

Risk Manager uses the leading industry standard risk model, ISO 31000, to simplify the risk rating process. Risk Manager allows lawyers, compliance officers, and risk managers to assign a qualitative rating to both the likelihood (or probability) and consequences (or impact) of a risk, following the ISO 31000 risk management model.

Risk treatment and risk control

To mitigate risks to the organization, it is important to treat the risk and control for future risks. Risk Managers help identify and prioritize risk controls and risk treatment.

Risk management implementation

For organizations with a risk management mandate for regulatory, strategic, or operational reasons, Risk Manager turns risk management documentation into risk management action. Risk management can become an integral part of the organization without disrupting business.

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Legal notices