



**ConvergeSol**  
Solutions Focused On Your Business

# Case Study

**SaaS Platform for Financial  
Services Compliance  
Management**



[www.convergesolution.com](http://www.convergesolution.com)

CONVERGESOL INC

# ABOUT CONVERGESOL



- 12+**  
No. of Years in Business
- 70+**  
No. of Team Members
- 100%**  
Project Success Ratio
- 7+**  
Years of Avg. Relationship Tenure



### Industries We Serve

- Financial Services
- Insurance
- Real-estate
- e-Commerce
- Manufacturing
- Healthcare
- Non-profits
- e-Learning

# BUSINESS PROBLEM



The client engaged another development company from Chicago to customize and develop their product, and this process lasted for two years. However, the client faced several challenges preventing them from successfully launching the platform. These challenges included:

- Dealing with the **time and cost** associated with customizing and developing the platform.
- **Finding a capable partner** who could create, manage, and provide ongoing support for the platform, catering to the slightly different needs of various end clients.
- Struggling with the lengthy learning curve of the development process and desiring a partner with **expertise in financial services**.
- Being **dissatisfied with the service level** provided by the company responsible for developing the product.

# OUR SOLUTION

- ConvergeSol helped the client to **build a SaaS-based Compliance Management platform** on top of a third-party product called Relativity (One of the most extensive E-Discovery Software used by the top 100 Legal Entities).
- The Functionality of the platform gives the CCO (Chief Compliance officer) and the External legal Advisor (end clients) access to all the essential compliance activities that, such as
  - **Forensic Analysis** to proactively monitor and mitigate Insider Trading
  - **Electronic Feeds Integration** with 20 Brokers like UBS, Goldman Sachs, Citi, Fidelity, Schwab
  - Document sharing
  - Restricted list, Watchlist, Gifts, Conflict of Interest
  - Trade Request Automation
  - **Surveillance Reporting** across sensitive supervised personnel information like trades and holdings
- We seamlessly transitioned coding and software engineering duties to our team, including requirements gathering, design, coding, deployment, and support.
- With a disciplined approach to release and platform management, we **smoothly upgraded the platform** from Relativity v7.4 to v9.1 to v9.4 to RelativityOne without disrupting existing clients.



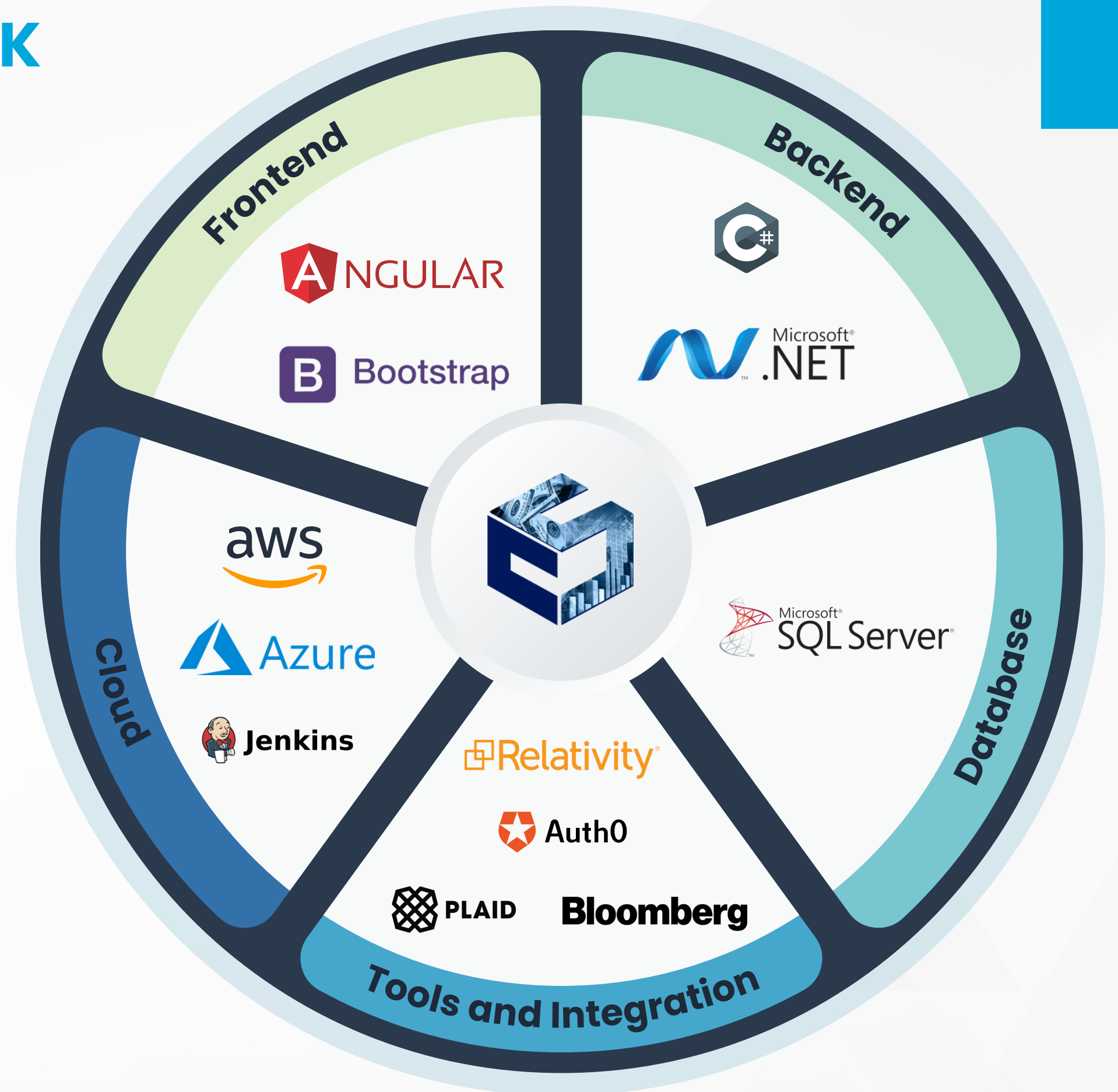
# BUSINESS BENEFITS

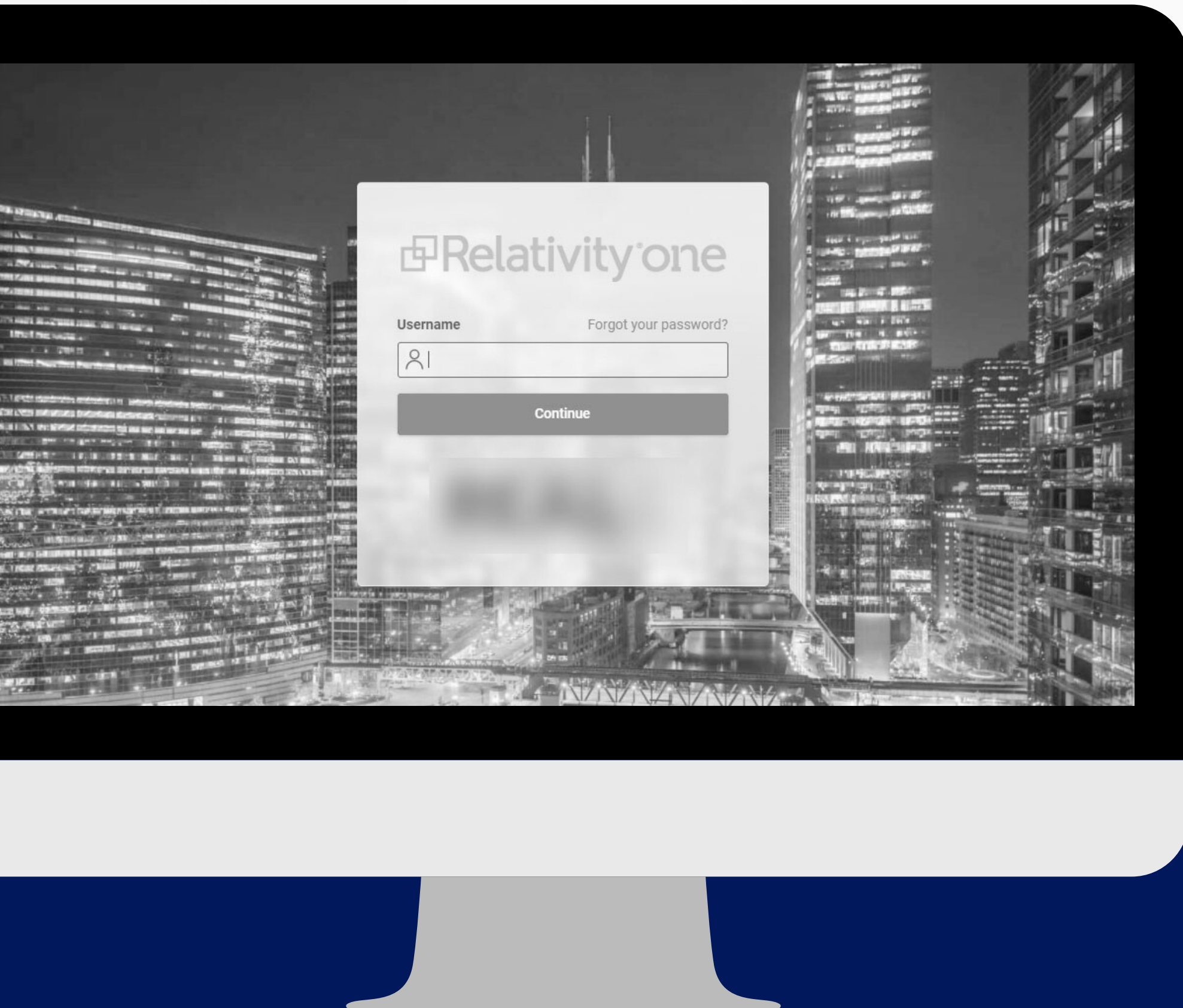
- Our solution gave the client a significant advantage by enabling them to **launch their platform in less than three months**.
- The accelerated timeline yielded speed to market and significant cost savings. Transitioning product development to our offshore center enabled cost-effective resource utilization and comprehensive support via a single point of contact.
- The platform provided built-in analytics and reporting capabilities, enabling clients to **gain insights, track compliance performance, and generate comprehensive reports**.
- The client was able to **seamlessly scale the platform from a few users to thousands of users** currently supported on the platform.
- The platform enabled real-time collaboration and streamlined workflows, facilitating efficient compliance processes and reducing manual effort.
- The platform provided **robust security measures**, including data encryption, regular backups, and compliance with industry standards, ensuring sensitive information is protected.
- Our expertise in facilitating platform **scalability and disciplined release management** led the client to acknowledge us as a trusted and capable partner.
- Our successful partnership fulfilled immediate needs and laid a solid foundation for their platform's long-term growth and development.



# PROJECT TECHNOLOGY STACK

- Selecting the right technology stack for a project is a critical decision that can significantly impact the project's success.
- We have taken several factors into account while making our technology stack selection for project implementation:
  - Scalability
  - Performance
  - Security
  - Cost
  - Third-party Integrations
  - Time-to-Market





# SAMPLE PROJECT SCREENSHOTS

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Take a Look





Relativity Workspaces ☆

Search: CTRL+/, Star, Bell, RI

+ Connect Instance

New Workspace | All Workspaces

Pin Favorite Workspaces  
Click on the pin icon next to any workspace to pin it to the top of your list.  
Dismiss the message

#	Pin	Name	Status	Case Artifact ID
		Real	(All)	= Filter
1	<input type="checkbox"/>	Test CS	Active	3752126
2	<input type="checkbox"/>	NSerio	Active	1026375
3	<input type="checkbox"/>	Demo	Active	1890928
4	<input type="checkbox"/>	Admin NSerio	Active	1026371

All 4 | Export to File | Total: 4

Relativity User and Group Manage... Groups ☆

Search: CTRL+/, Star, Bell, RI

Client Matters Users **Groups** User Sync Preview Information (Master)

New Group | All Groups

#	Group Name	Created By	Created On
	Filter	Filter	(All)
1	System Administrators	Admin, Relativity	01/01/2007 5:30 AM CXT
2	Domain Users	Admin, Relativity	01/01/2007 5:30 AM CXT
3	Everyone	Admin, Relativity	08/05/2010 8:08 PM CXT
4	First Level Group	Admin, Relativity	09/17/2010 1:59 AM CXT
5	Second Level Group	Admin, Relativity	09/17/2010 1:59 AM CXT
6	Third Level Group	Admin, Relativity	09/17/2010 1:59 AM CXT
7	Level 1	Admin, Relativity	09/24/2010 3:26 AM CXT
8	Level 2	Admin, Relativity	09/24/2010 3:27 AM CXT
9	Level 3	Admin, Relativity	09/24/2010 3:27 AM CXT
10	Automated Workflows Application	Service Account, Automation	02/24/2021 2:17 PM CXT
11	Processing Administrators	Service Account, Relativity	02/24/2021 3:01 PM CXT
12	Template Level 1 (do not add users)	Service Account, Relativity	02/24/2021 3:01 PM CXT
13	Template Level 2 (do not add users)	Service Account, Relativity	02/24/2021 3:01 PM CXT

All 1,186 | Copy | Total: 1,186

Relativity Admin Workspace Configura... Views ☆

Search: CTRL+/, Star, Bell, JP, REAL

Views Tab Sync Tabs Fields Layouts Object Type

New View | All Views

#	Name	Object Type	View Type	Visible	Render Links	Order
	Filter	(All)	(All)	(All)	(All)	= Filter
1	All Agents	Agent	Admin Update	Yes	Yes	1
2	Agent Status	Agent	Admin Update	Yes	Yes	20
3	AgentTypeOnPicker	AgentType	Admin Update	No	No	9997
4	All Dashboards	AuditDashboard	Admin Update	Yes	Yes	1
5	All Audit Workspace Settings	AuditWorkspaceSetting	Admin Update	Yes	Yes	1
6	All Authentication Provider	AuthenticationProvider	Admin Update	Yes	Yes	1
7	All Authentication Provider Type	AuthenticationProviderType	Admin Update	Yes	Yes	1
8	ClientsOnPicker	Client	Admin Update	No	No	
9	All Clients	Client	Admin Update	Yes	Yes	10
10	All Choices	Code	Admin Update	Yes	Yes	10
11	All Credentials	Credential	Admin Update	Yes	Yes	1
12	AzureCredentialForCacheLocationPicker	Credential	Admin Update	Yes	Yes	1
13	AzureCredentialForContainer	Credential	Admin Update	Yes	Yes	1
14	All Custom Pages	CustomPage	Admin Update	Yes	Yes	1
15	All Dashboard	Dashboard	Admin Update	Yes	Yes	1
16	All Dashboards	Dashboard	Admin Update	Yes	Yes	1

All 85 | Copy | Total: 85



# OUR DEVELOPMENT PROCESS

The Software Development Life Cycle (SDLC) is a well-established framework utilized in project management.

It encompasses the various stages involved in the development of an information system, starting from the initial feasibility study and extending to the maintenance of the completed application.

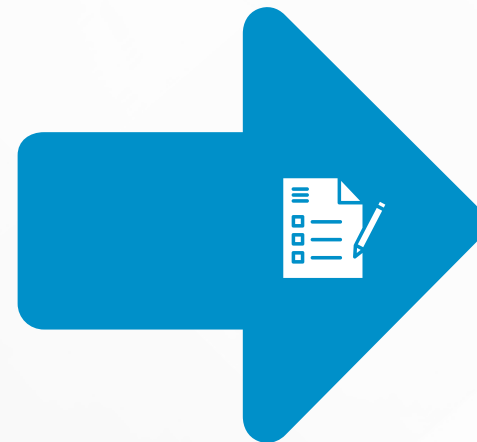
## DISCOVERY

- In Depth Analysis
- Understanding Your Business
- Feasibility of Project



## DESIGN

- Wireframe
- Web/Mobile
- Application Visuals
- Application Workflow



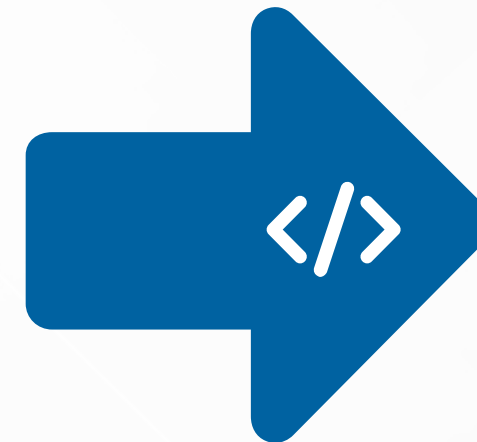
## PROJECT SPECIFICATION

- Requirement Understanding
- Finalize Scope
- Estimation
- Development Technologies



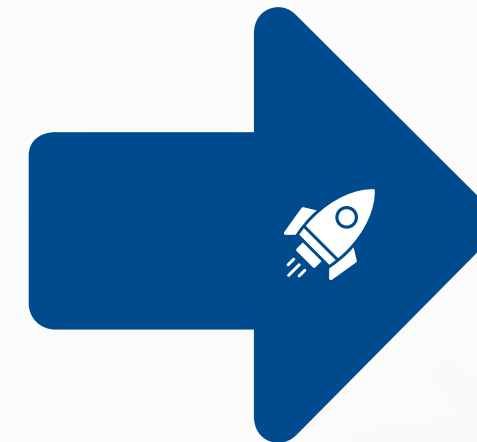
## DEVELOPMENT & TESTING

- Project Planning
- Code Implementation
- Integration with 3rd Party
- Manual Testing
- Bug Fixing



## UAT & LAUNCH

- User Acceptance
- Testing
- Launch

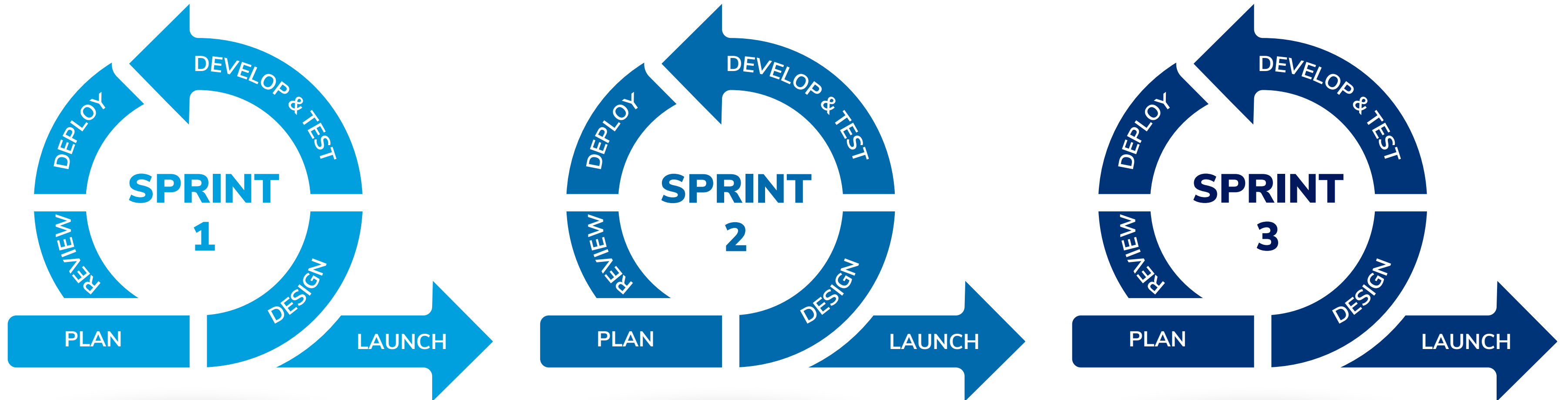


## ONGOING SUPPORT

- New Features
- Version Updates
- Server Management
- Backup



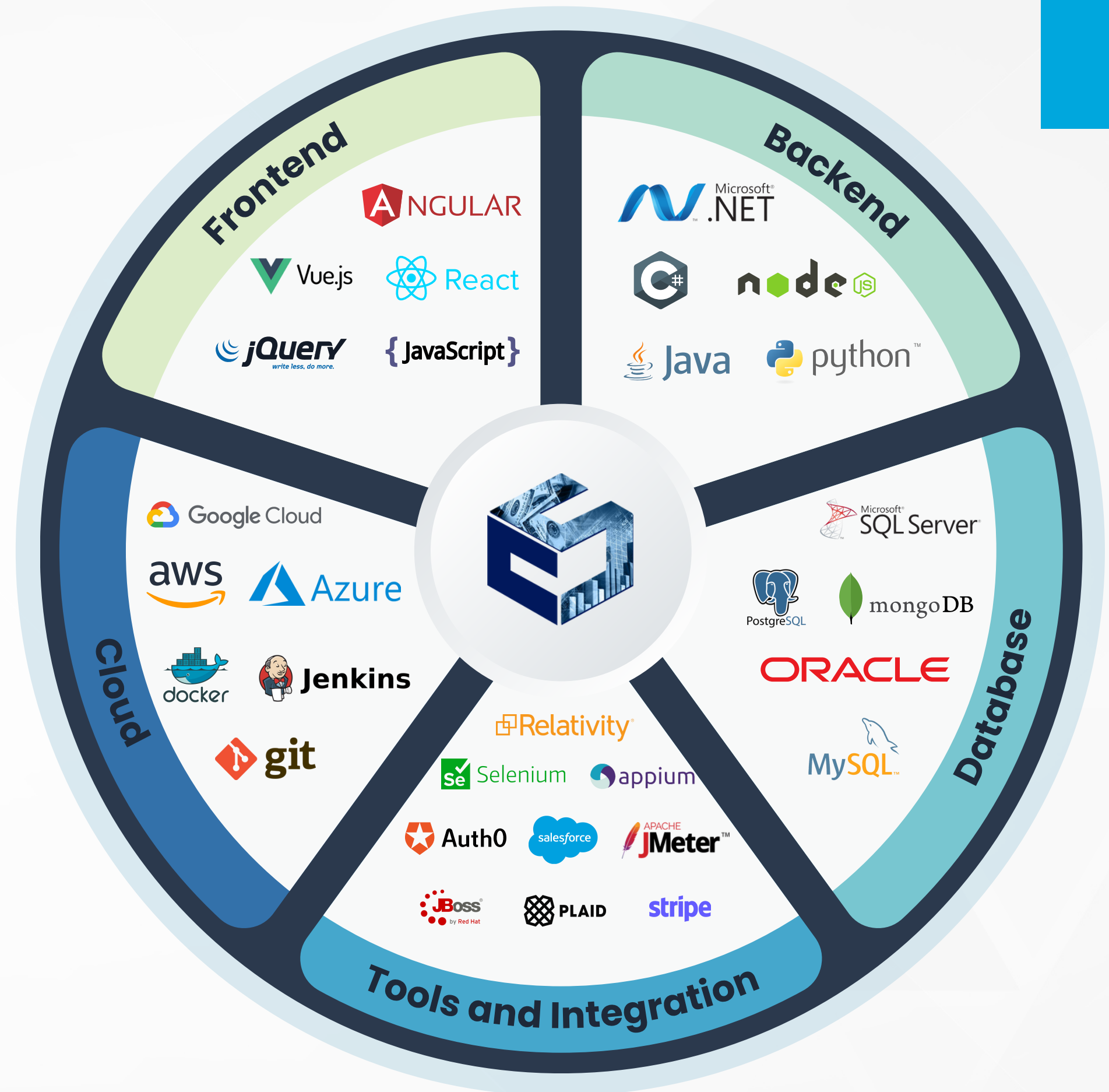
# OUR AGILE DEVELOPMENT PROCESS



Agile methodology is a project management framework that prioritizes adaptability, collaboration, and iterative development. It emphasizes delivering value to customers through frequent releases, continuous feedback, and self-organizing teams. Agile promotes flexibility, transparency, and the ability to respond quickly to changes in requirements or market conditions.

# OUR TECHNOLOGY STACK

- At ConvergeSol, we leverage a cutting-edge technology stack to deliver innovative solutions that meet the unique needs of our clients.
- Our partnerships with leading software providers like Microsoft, Salesforce, Amazon, and Relativity allow us to create best-in-class solutions that solve real business problems.
- Here's a glimpse into our key technology experience across the entire software development lifecycle:
  - Frontend technologies
  - Backend technologies
  - Infrastructure and DevOps
  - Tools & Integrations





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# EMBARK ON YOUR JOURNEY WITH US

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