



# Execution and Notarization of Tax Returns and Documents in the Digital Age

Presented by: Joe Amat and Katie L. Monroe

Canaan Valley Resort & Conference Center - October 24, 2022

# Agenda

- 1 Why we're here
- 2 How DocuSign application assists with electronic signatures
- 3 DocuSign maturity at an organization
- 4 Where our technology can help
- 5 Feedback, Q&A

# Executive Summary

Law firms will continue to focus on improving client and employee experience, lowering costs, and find new ways to drive growth within the firm by investing more in digital solutions like eSignature technology in FY22. By digitally transforming the agreement processes, law firms will be able accelerate their business goals and modernize their clients' experience.

Of the organizations that adopted eSignature in the last 12 months, 66% say they will increase usage in the next 2 years. Going deeper, broader and doing more with DocuSign eSignature in legal services will allow firms to:



**Deliver the secure, digital, accessible and mobile-friendly experience your clients expect**



**Reduce costs** from **streamlined client-facing processes** (intake, engagement letters) and **efficient back office operations**



**Automate workflows** by connecting DocuSign to your document management systems like iManage, delivering a **single, secure record** of matter documents and **reducing manual work**

# Firms rely on technology to improve business processes + client satisfaction

## Key trends today



Demand for legal services and technology continues to grow within law firms

[Source](#)



Clients want to act on their issues quickly and are comfortable with technology

[Source](#)



Firms are accelerating initiatives to improve efficiency, productivity and client services

[Source](#)



Law firms must be able to run effectively as businesses

[Source](#)

## What law firms seek in technology

### Client Satisfaction and Loyalty

Law firms have to meet ever growing consumer expectations for to remain competitive and project a client-friendly brand.

### Enhanced Corporate Governance

Ensure your policies are embedded and consistently followed across your entire enterprise.

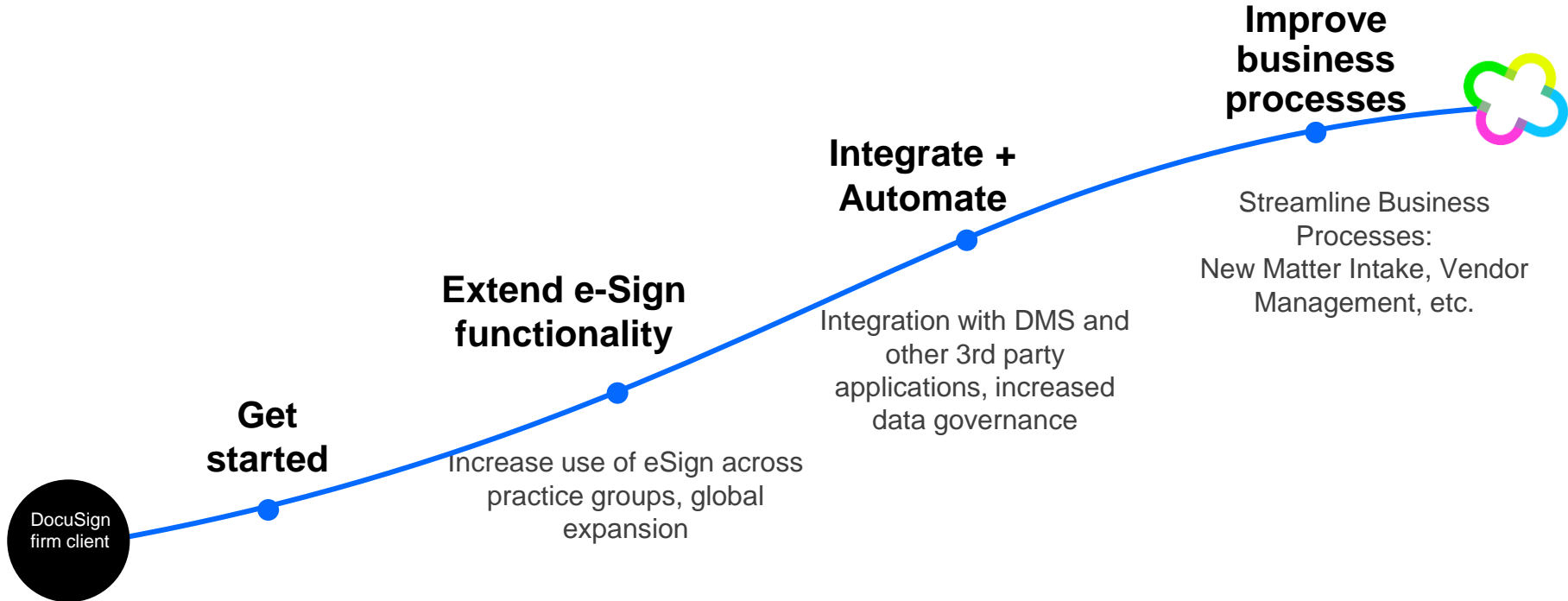
### Organizational Agility

Good process management is never 'done' - it evolves, changes and shifts with your firm's needs and strategies.

### Increased Efficiency and Speed




At the same time you're getting better corporate governance, you are increasing efficiencies.

# DocuSign Maturity at Law & Tax Firms



# Realize Value with Confidence

Activities we've seen most directly correlate to customer success

 <p><b>Establish a Strategic Vision</b></p>	<p><b>Identify Business Objectives</b></p> <p>Articulate a vision to guide your digital-first goals and outcomes</p>	<p><b>Name Sponsors and Admins</b></p> <p>Ensure executive sponsorship champion with named admins to manage this transformation</p>	<p><b>Define Success KPIs</b></p> <p>Define success metrics and KPIs that measure ROI with progress tracking</p>
 <p><b>Deploy, Adopt &amp; Optimize Solutions</b></p>	<p><b>Launch with Iterative Deployments</b></p> <p>Focus on high-impact use cases to enable, deploy and onboard effectively</p>	<p><b>Adopt and Enable Continuously</b></p> <p>Empower users with ongoing releases, enablement and adoption best practices</p>	<p><b>Define a Scalable Support Model</b></p> <p>Mitigate risk by developing a seamless support process for business-critical needs</p>
 <p><b>Unlock New Opportunities</b></p>	<p><b>Build a Center of Excellence</b></p> <p>Create a governance framework for scale, adoption and maturity</p>	<p><b>Capture Value Stories</b></p> <p>Highlight business outcomes cross-functionally and celebrate wins internally and externally</p>	<p><b>Innovate with New Capabilities</b></p> <p>Unlock opportunities by staying up to date with new capabilities aligned to business objectives</p>

# DocuSign for Law Firms

## DocuSign for Law Firms

How does your firm compare?



### Practice Area

### Business Impact/ROI

01

**Litigation**

Reduce administrative workloads  
Meet client and staff expectations  
Flexible and secure experience

02

**Corporate**

Increase speed and efficiency  
Enable remote interactions  
Boost client engagement and transparency

03

**Private Client**

Wealth Advisory  
Estate Planning

04

**Real Estate**

Cut down on the back-and-forth between parties  
Close deals faster - brokers already embrace DS  
Maintain control of contract language

05

**Banking &  
Financial Services**

Shareholder Agreements  
M&A  
Financings

# DocuSign for Law Firms

Internal + Administrative

How does your firm compare?



## Use Case(s)

## Business Impact/ROI

01

### Recruiting/TA

Offer Letters, New Hire Documents, NDAs

Support a global, mobile workforce  
Modernize your candidate experience  
Ensure complete accuracy and simplify compliance

02

### Human Resources

Current Employee Documentation

Ensure complete accuracy, simplify compliance  
Improve operational efficiency

03

### Intake

Engagement Letters

Streamline via integrations like InTapp  
Visibility into approval workflows  
Decrease time to signature

04

### Procurement

Reduce exposure to business and legal risk  
Increase contract visibility, extract intel  
Save time and money

05

### IT

Streamline via integrations like ServiceNow  
Access Management/Change Requests  
Requirements Sign Off



# Legal Services Partner Ecosystem

## Doc Management

netdocuments<sup>®</sup>

iManage

opentext<sup>™</sup>

THOMSON REUTERS  
CONTRACT EXPRESS<sup>™</sup>

## Case Management

Clio<sup>®</sup>

meruscase

SmartAdvocate<sup>®</sup>

PRACTICEPANTHER

## Closing Systems

iManage  
Closing Folders

LITERA

SIMPLYAGREE

## Intake

LEGAL INTAKE  
PROFESSIONALS.

intapp<sup>™</sup>

LITIFY

LEAD  
DOCKET

## Doc Generation

HOTdocs<sup>™</sup>

foxit<sup>®</sup>

FILEVINE<sup>™</sup>

NEEDLES  
An Assembly Software Company

SMOKEBALL

## Client Collaboration/ CRM

HighQ

K2

xira

UPPTOPP

## Systems Integrators

bluecar  
TECHNOLOGIES

Younts Consulting

trumpet

# Common 3rd party applications + advanced workflows



“Push button;  
get document”



HOTdocs



ContractExpress



Negotiate  
& Redline

HighQ  
contractlogix



Tracking  
Legal Clauses



A DFIN Company



eSignature

DocuSign



Organize  
& Search



netdocuments

opentext

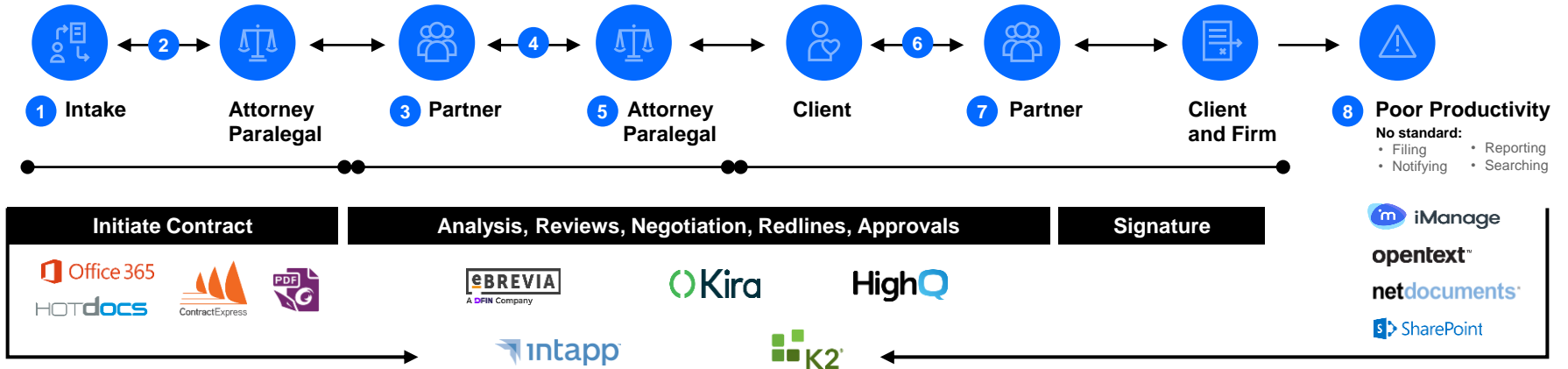


Workflow



# Current State Process & Challenges for Law Firms

Numerous iterations, long durations, poor productivity, frustrating experience



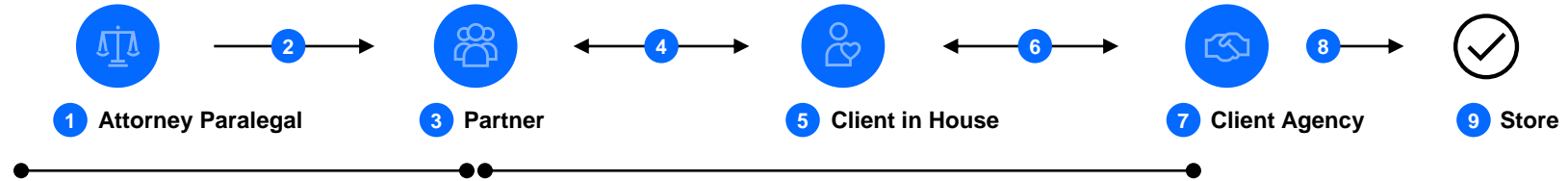
## Manual, Decentralized, Limited Standardization, No Automation, Limited Visibility

- |   |   |  |   |
|---|---|--|---|
| <p><b>1</b> Intake generates the engagement letter or initiates matter. Templates are not standard. Creation of a contract is all manual, cut and paste.</p> <p><b>2</b> The primary communication tools for the entire process is email and instant messaging.</p> | <p><b>3</b> Extensive revisions, discovery, versioning and redlining done manually over Word and email.</p> <p><b>4</b> Status is provided manually. No central visibility into progress.</p> | <p><b>5</b> Contract must be manually analyzed to determine &amp; assess risks. Review routing is created manually based on analysis.</p> <p><b>6</b> Reviewers find their assigned elements. Manually assess risks, and determine alternatives.</p> | <p><b>7</b> Risk &amp; routing change with each update. Lack of visibility to key status and term changes.</p> <p><b>8</b> Manual push to mission critical processes.</p> |
|---|---|--|---|

## Process Challenges

# Future State: Capabilities for Law Firms

Increased efficiency, faster time to revenue, greater oversight, happier clients



- 1 Automated Generation direct within CLM**  
Auto-gen from templates, library of clauses, client directory
- 2 Risk Analysis**  
Analyzer surfaces and flags risk levels based on firm specific scorecards. status of deals in progress, whether internal or 3rd party paper
- 3 Intelligent Editing/Redlining**  
Edit in application or MS Word. Track owners / changes. Compare and analyze versions
- 4 Dynamic Approvals**  
Auto routing based on company policy and contract risk profile. Adjusts as deal changes.
- 5 Visibility**  
Real time status of documents in progress. Pushed Notifications Work history – audit trail
- 6 Access Control**  
Process centrally controlled with Security at multiple levels
- 7 Seamless eSignature and delightful, familiar client execution experience and deal finalization process**
- 8 Central Repository:**  
Historical Docs, Templates, Clauses and Data centrally stored & organized
- 9 AI Powered Exploration:** AI search across contracts & data, organized within law firm **end-to-end process encompassing:**  
Legal Knowledge Management  
Client Relationship Management  
Practice Automation  
IT Consolidation

# Appendix

# The DocuSign Agreement Cloud for Law Firms

## eSignature

Send and sign with the world's #1 electronic signature solution

## Notary

Notary public performs electronic notarization without needing to be in physical proximity of the signer(s).

## Identify

Integrate advanced identification methods into the eSignature process to meet compliance requirements around the world.

## DocuSign CLM

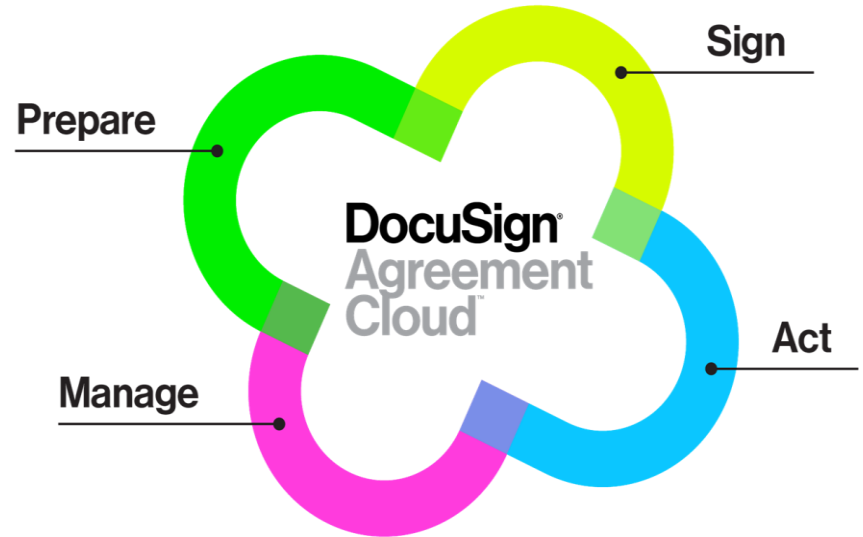
Automate the contract lifecycle with document generation, collaboration, workflow, and a central agreement repository

## DocuSign Monitor

Monitor provides an additional layer of security to help guard your critical agreements.

## Integrations

Work in the tools where you already do business like NetDocs, iManage, Salesforce, etc.



# Online Notary Acts

# West Virginia Uniform Law of Notarial Acts

## WV Revised Uniform Law on Notarial Acts (WV Chapter 39 Article 4) (2021)

The law sets forth two crucial sections pertaining to notary duties: **Remote Online Notarial acts (RON)** and **Remote Ink Notarial acts (RIN)**.

- **RON** refers to acts for remotely located individuals using a communication technology platform, and
- **RIN** refers to acts by remotely located individuals, whereby the individuals exchange wet-signed documents but verify identities and act using a communication technology platform.

### Requirements to perform RON

- Hold an existing commission as a traditional Notary Public
- Contract with a RON software provider that meets state requirements
- Notify the Secretary of State of your intent to perform RON and provide the name of your chosen RON vendor

**RON Providers:** West Virginia does not have a list of approved providers, but we will add the information here if a list does become available. In the meantime, you may want to look into DocuSign, DocVerify, Nexsys Clear Sign, Notarize, NotaryCam, Pavaso, Safedocs and SIGNiX.



# Remote Online Notarial Acts (RON)

- **Remote Appearance:** A remotely located individual not present with a notary is authorized to use communication technology to appear before a notary public.
- **Registration if Notary:** Notaries must register to perform remote online notarizations and must comply with all requirements for electronic notarizations in the state and submit information about the technology platform that will be used.
  - RONs, use a dedicated platform that integrates in one system a video conference capability, multi-factor methods for verifying the identity of the signer that uniquely apply to remote online notarizations, and an electronic signing room that presents the electronic document in real time for signing using electronic signatures by the document signer and Notary.

**Verification of Identity of Signer:** Notary verifies the signer's identity by personal knowledge, oath or affirmation from a credible witness appearing before the Notary, or at least two different types of identity proofing.

**Verification of the Record and Signature Intent:** Notary confirms document that is being notarized and the signer's awareness and willingness to sign the document.

**Digital Certificate:** Notary checks the document for any blanks, completes the certificate wording, attaches their electronic seal and attaches their digital certificate containing their electronic signature.

- The notarial seal used for the RON must state **"This notarial act involved the use of communication technology."**

**Journaling and Audiovisual Record.** The notarization is marked complete when the Notary has made an entry in their journal and saves an audio-visual recording of the RON notarial act for five years.

# Remote Ink Notarial Acts (RIN)

**Real Time Video-Conference:** The Notary and signer appear before each other using a live, real-time video conference solution such as WebEx, Zoom, GoToMeeting or Microsoft Teams.

**Identification of Signer:** The Notary identifies the signer using the methods allowed under current Notary law.

**Signer Signs Document and Sends Electronic Copy:** The signer signs the paper document and faxes or transmits electronically the signed document to the Notary during the video conference.

**Notary Notarizes Electronic Document.** The Notary prints out the document received from the signer and completes the notarial certificate in pen and ink on the original document during the video conference.

**Notary Sends the Notarized Document to Signer.** The Notary faxes or transmits electronically the notarized document back to the signer during the video conference.

**Notarial Seal:** The notarial seal used for the RON should state “**This remote online notarization involved the use of communication technology.**”

**Date and Time of Notarization:** The date and time of notarization shall be the time of witnessing the signature with the communication technology, not the date when received.

**Audio Visual Recording:** The Notary must keep an audiovisual recording of each RIN notarial act for at least 5 years after the recording is made.

W.Va. Code 39-4-16 & 39-4-37

**WEST VIRGINIA NOTARY ACKNOWLEDGEMENT  
(INDIVIDUAL)**

State of West Virginia  
County of \_\_\_\_\_

This record was acknowledged before me on the 24<sup>th</sup> day of October, 2022, by  
\_\_\_\_\_ [Name(s) of individual(s)]. *This notarial act involved the use of  
communication technology.*

My commission expires:\_\_\_\_\_.

(Stamp)

\_\_\_\_\_  
Signature of Notarial Officer

# DocuSign Notary

The trusted way to remotely and electronically notarize documents

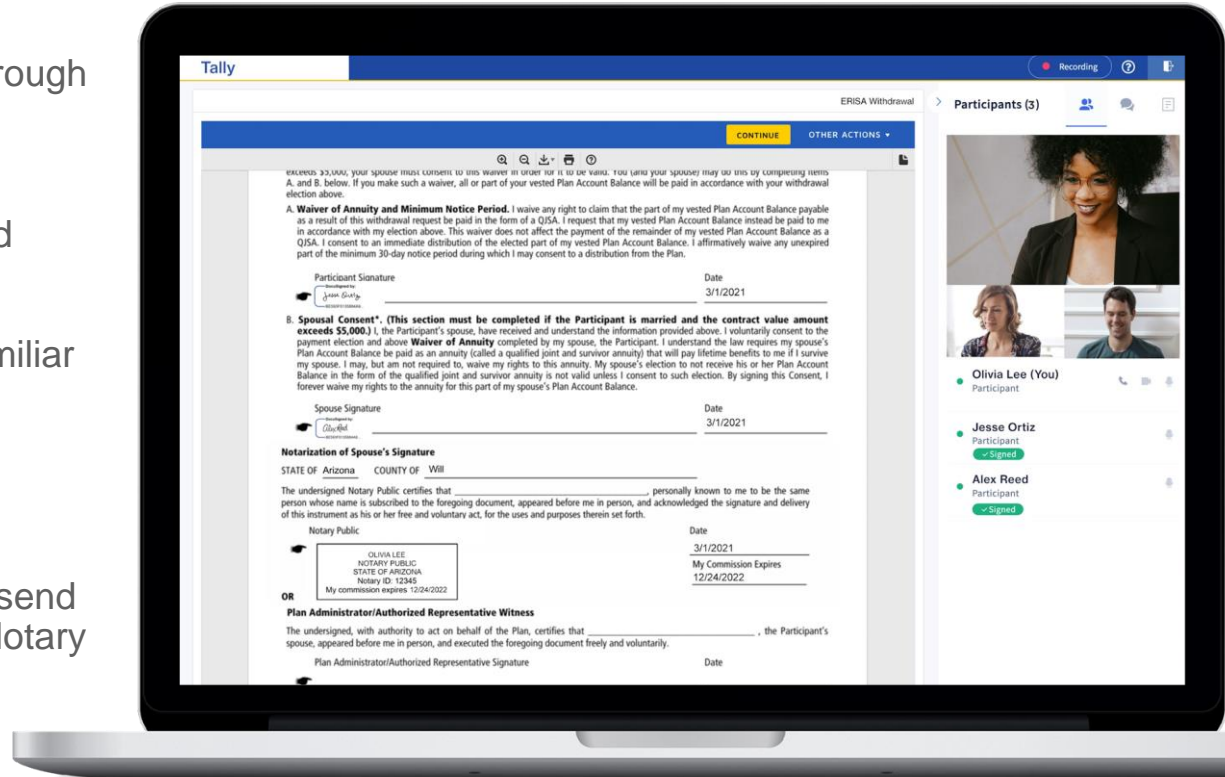
Remotely notarize documents through a secure audio-visual session

Authenticate the signer through integrated identity verification and knowledge-based authentication

Built on eSignature, providing familiar sending and signing experiences

Provides a detailed audit trail for sender and notaries

Automate repeatable tasks (e.g. send documents to be notarized) via Notary API



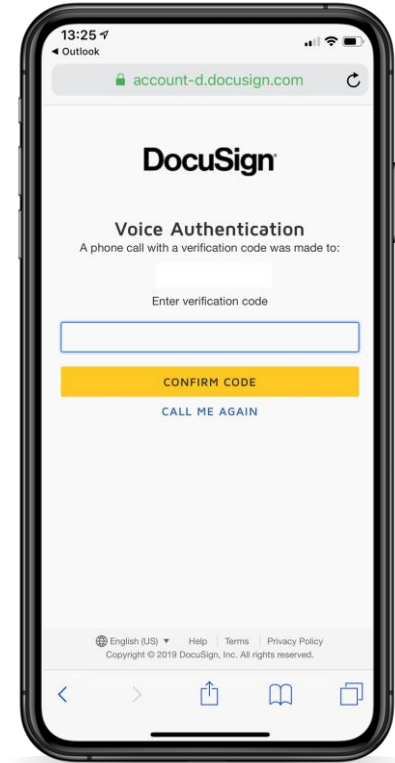
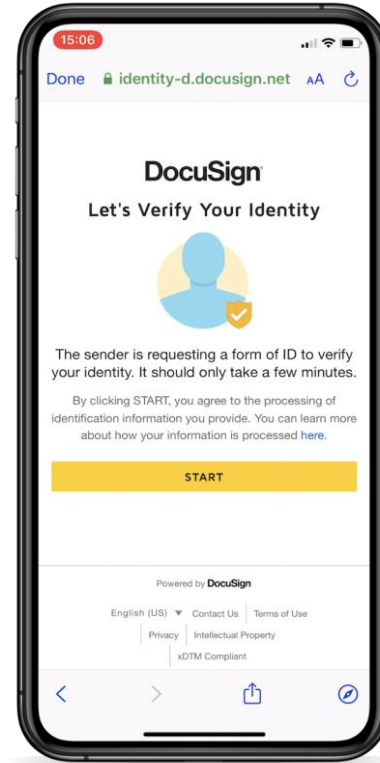
# DocuSign Identify

A family of identification and authentication products to help you minimize risk

A seamless digital experience to check signers' identity

Increase enforceability and reduce risk

Comply with industry and global regulations (eIDAS, Know Your Customer, Anti-Money Laundering)



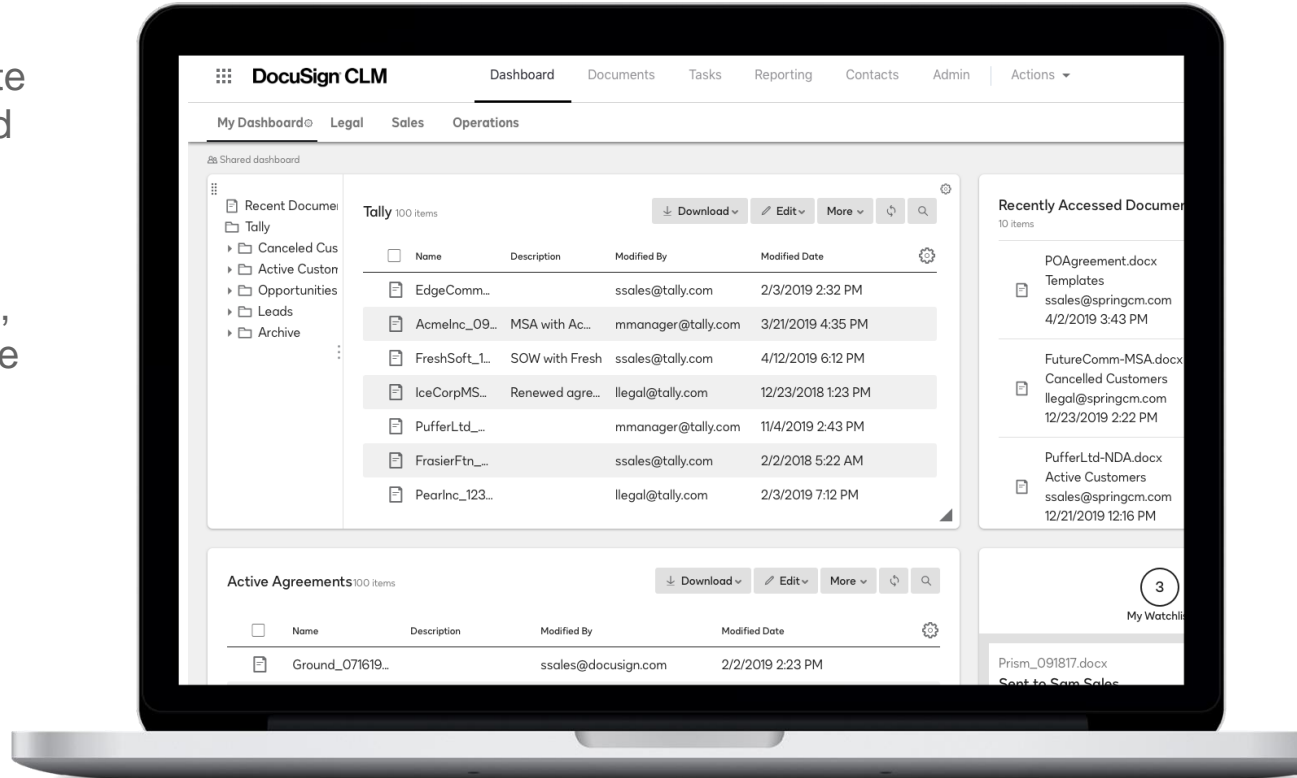
# DocuSign CLM

Automate the contract lifecycle

Generate agreements, facilitate negotiation, track redlines, and ensure version control

Connect and track business processes across contributors, reviewers, approvers and more

Centralize agreements in a secure, searchable repository



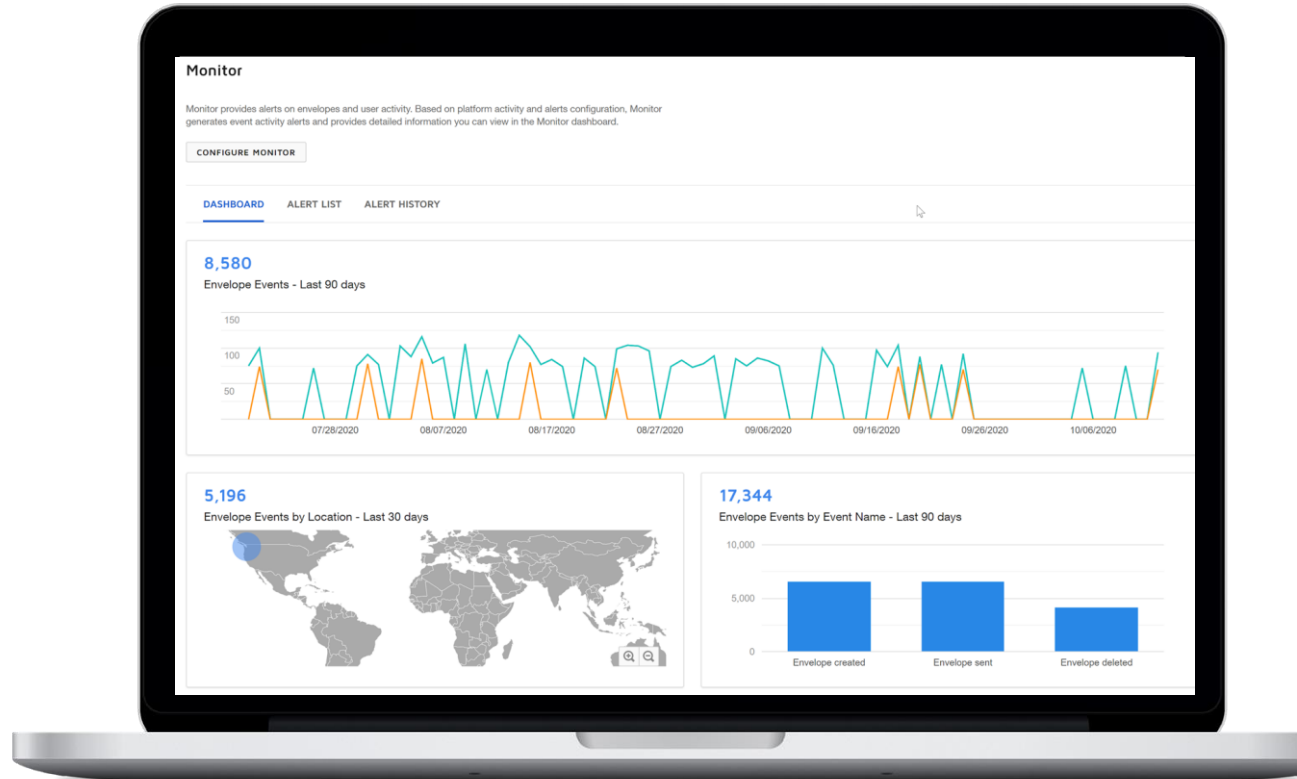
# DocuSign Monitor

Protect your agreements with round-the-clock activity tracking

Detect potential threats  
in near real-time with  
rules-based alerts

Investigate incidents  
with in-depth,  
actionable data

Respond quickly to  
verified threats



# Real Estate Use Case

**Use Case Deep Dive:** Update procedures to adapt to changing transactional environment

## Before

Slow processes rife with multiple email chains, missing documents, and days lost from manually tracking and following up

Completing letters of intent, purchase and sale agreements, and authorizations to close was eating up valuable time and effort

At the crossroads of appeasing both innovative and traditional brokers and lawyers

## After

Simplifies tracking approvals and cuts down on emails by capturing unique identifiers and when documents were sent, opened, and signed

Accelerates the time to complete documents and gain authorization to close from all parties

Ensures proper routing for approvals, circulates a Certificate of Completion, and effectuates actions such as acknowledging receipt of a notice

## Top 3 Benefits

1. Cuts down on the back-and-forth between parties
2. Enables deals to close faster by using a solution embraced by brokers
1. Maintains control of contract language



# Litigation Use Case

**Use Case Deep Dive:** Multi-party settlement agreement with an accompanying stipulation of dismissal

Before	After
Capture of “wet” signatures	Streamlines approvals with legally admissible signatures
Sharing of sensitive information via unsecured systems for approval	Uses secure and encrypted platform
Lack of transparency into who signed which document and where	Has visibility into the real-time status of approvals
Sourcing the current version and approval status	Eliminates manual efforts from routing, collecting, and tracking approvals
Increased administrative costs that should not be borne by the client	

## Top 3 Benefits

1. Reduces administrative workloads
2. Meets client and staff expectations
1. Creates a flexible and secure experience

# Corporate Finance Use Case

## Use Case Deep Dive: Debt finance transactions

Before	After
Extensive preparation, signing, tracking, and archiving	Meets client expectations (remote work)
Clients often required to come into the office to sign their documents in person	Accelerates time-to-value with efficient digital working practices
Costs to scan, overnight mail, and fax documents	Has visibility into the real-time status of approvals and deal timelines
Delays in deal closures	
Lack of visibility into the approval process	

## Top 3 Benefits

1. Increases speed and efficiency
2. Enables remote interactions
1. Boosts client engagement and transparency

# HR Use Case

## Use Case Deep Dive: Increase Efficiency in Hiring and Onboarding

### Before

Printing, signing, scanning or physically returning paperwork such as offer letters, releases for background checks and employee handbook acknowledgements is a hassle and reinforces the perception that your company is outdated.

### After

Today's workforce has grown up in a digital world, and they expect mobile, connected experiences.

The DocuSign Agreement Cloud for Hiring and Onboarding offers a simpler, digital-friendly hiring experience, enabling candidates and employees to sign all paperwork wherever they are, on whatever device they prefer.

## Top Benefits

1. Support a global, mobile workforce
2. Modernize your employee and candidate experience
3. Ensure complete accuracy and simplify compliance
4. Improve operational efficiency

# Procurement Use Case

## Use Case Deep Dive: Say Goodbye to Manual, Costly Vendor Contracting Workflows

### Before

When vendor contracting is inefficient, procurement teams are left scrambling to speed up deal cycle times, gain insight into risks and support a resilient supplier network.

Market volatility can further stress contracting workflows to the breaking point, exposing all manner of flaws and, in some cases, entirely shutting down buying processes.

### After

With a digital agreement platform like the DocuSign Agreement Cloud, procurement teams can transform vendor contracting into an efficient, systemized process that reduces exposure, increases contract visibility, saves time and money and lets you take full advantage of your existing technology

## Top Benefits

1. Reduce exposure to business and legal risk
2. Increase contract visibility and extract intel
3. Save time and money
4. Get full value from your existing technology

# How DocuSign eSignature delivers value to law firms

Signing Experience	Sending & Signing Workflows	Integrations & APIs	Security & Compliance
Accelerate <b>agreements</b> with an intuitive signing experience across virtually any device	Eliminate manual tasks with <b>configurable</b> and <b>automated</b> workflows	Save time by seamlessly <b>connecting</b> eSignature with the tools your teams use everyday	Mitigate risk with <b>enterprise-grade</b> security and compliance controls
Responsive Signing SMS Delivery Authentication and ID Verification Mobile App on iOS & Android Supplemental Documents Notary eWitness Delegated Signing*	Advanced Recipient Routing Signing Insights Signing Groups PowerForms Bulk Send Agreement Actions Schedule Send* Auditable Certificate of Completion	350+ Pre-built Integrations Complete & Highly Customizable API Connect Retrieve	Unrivaled Security & Adv. Compliance (i.e, FedRAMP Moderate & IL4 Provisional Authorization, HIPAA, etc.) 99.99% Availability without maintenance downtime Org Management Access Management DocuSign Monitor CFR Part 11 Validator

# Challenges and Trends in the Legal Industry Today

1

**Demand for legal services** continues to grow rapidly YoY. The market is expected to grow from \$713.7 billion in 2020 to \$908.26 billion in 2025 at a rate of 4.9%.

- According to The Business research company's [Legal Services Global Market Report 2021: COVID-19 Impact And Recovery To 2030](#),

2

[FindLaw's 2021 U.S. Consumer Legal Needs Survey](#) showed that most consumers with a legal need act on their issue quickly — 56% do so within a week. “**Consumers are comfortable with technology**. Because it is interwoven into just about all other areas of life, they expect their legal representation to have some facility with it, too.”

3

Firms are accelerating initiatives to improve **efficiency, productivity and client services**. 74% report they are investing in new technology to support firm operations and client work.

The leading technologies law firms plan to invest in include: e-signature; Automation of Document and Contract Creation; Collaboration Tools for Document and Contract Drafting/Reviewing; Document and Contract Workflow Management; and Cloud-based Services.

- [Wolters Kluwer The 2021 Future Ready Lawyer](#)

4

“Of all the lessons that have been learned in 2020, perhaps one of the most important ones for law firms is that **they must be able to run effectively as businesses**.”

- Thomson Reuters 2020 [Law Firm Business Leaders Report: Outlook for U.S.-Based and Regional Firms](#)

Business Process Management done right means your firm should \*always\* be reaping the following benefits simultaneously:

1

**Enhanced corporate governance.** BPM ensures your policies are embedded and consistently followed across your entire enterprise. When risk thresholds are exceeded, appropriate oversight is invoked through involvement of the right reviewers/approvers.

2

**Increased efficiency and speed**

At the same time you're getting better corporate governance, you are increasing efficiencies. Duplicative data entry is supplanted with right-timed automations; back-and-forth information clean-up is replaced by clear submission requirements; unnecessary reviews are replaced with timely and required reviews.

3

**Organizational Agility**

Good process management is never 'done' - it evolves, changes and shifts with your firm's needs and strategies. This evolution occurs nearly instantaneously and on a consistent, enterprise basis.

4

**Client Satisfaction and Loyalty**

Law firms have to meet ever growing consumer expectations for a fast, frictionless process in order to remain competitive and project a client-friendly brand.

# Executive Summary

Law firms will continue to focus on improving client and employee experience, lowering costs, and find new ways to drive growth within the firm by investing more in digital solutions like eSignature technology in FY22. By digitally transforming the agreement processes, law firms will be able accelerate their business goals and modernize their clients' experience.

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Deliver the secure, digital, accessible and mobile-friendly experience their clients expect



Reduce costs from both streamlined client-facing processes like intake and engagement letters as well as and efficient back office processes in HR, procurement and IT



Automate workflows by connecting eSignature to your document management systems like iManage, delivering a single, secure record of matter documents and reducing manual work



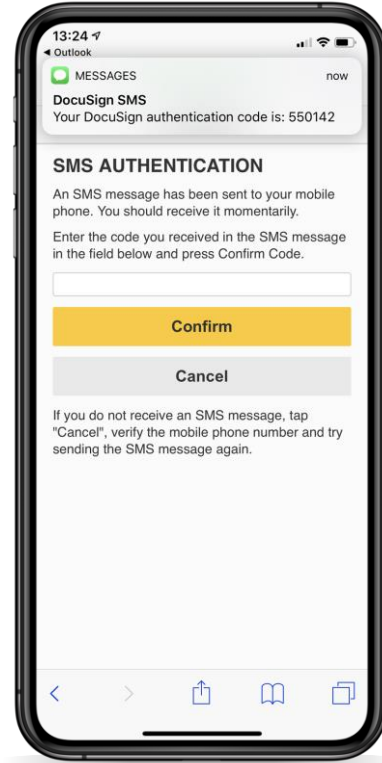
# DocuSign Identify: SMS Authentication

Authenticate a signer with an SMS for added assurance

Validate a person's phone number and access to that number via a one-time code delivered via SMS

Increase security while providing an easy-to-use experience

Roll out a unified solution globally with support for 195 countries



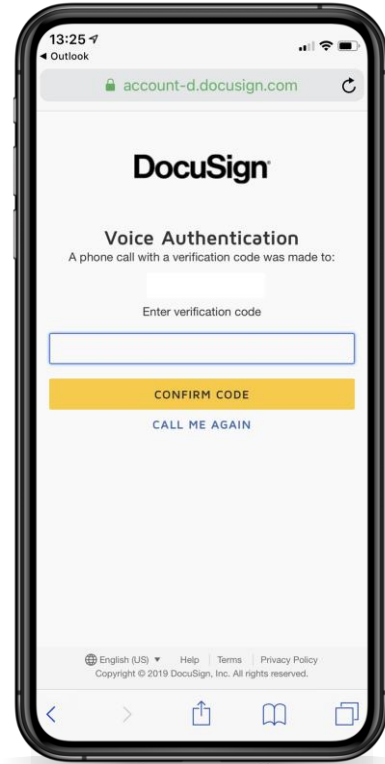
# DocuSign Identify: Phone Authentication

Authenticate a signer using a phone call for added assurance

Validate a person's phone number and access to that number by having them key-in a code and record their name

Capture evidence – including biometric – as part of the audit trail

Easily configure to meet your organization's requirements



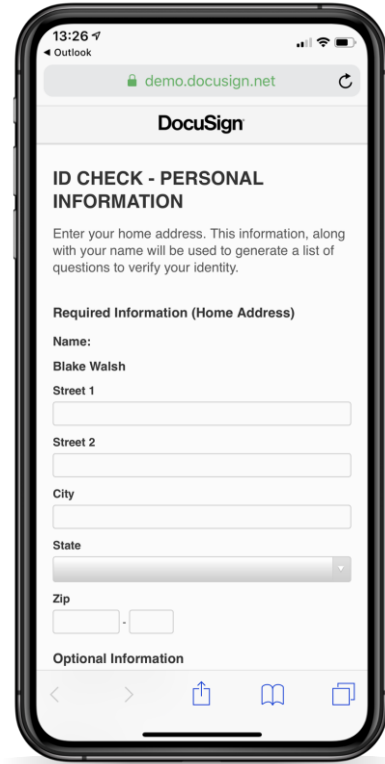
# DocuSign Identify: Knowledge-Based Authentication

Identify a signer by asking them to correctly answer personal questions

Ensure strong signer authentication by requiring signers to correctly answer questions about themselves

Method used by 14 of the top 20 U.S. financial services institutions

Only applicable for recipients in the United States



13:26  
Outlook  
demo.docusign.net  
DocuSign

**ID CHECK - PERSONAL INFORMATION**

Enter your home address. This information, along with your name will be used to generate a list of questions to verify your identity.

**Required Information (Home Address)**

Name:  
Blake Walsh

Street 1


Street 2

City

State

Zip  
 -

**Optional Information**

< >   

# DocuSign Identify: ID Verification

The digital way to verify government issued photo IDs and eIDs

Allow signers to photograph their IDs, then submit for verification, from wherever they are, at any time

Minimize risk for agreements globally

Use with our digital signature solutions to meet eIDAS compliance at the advanced level



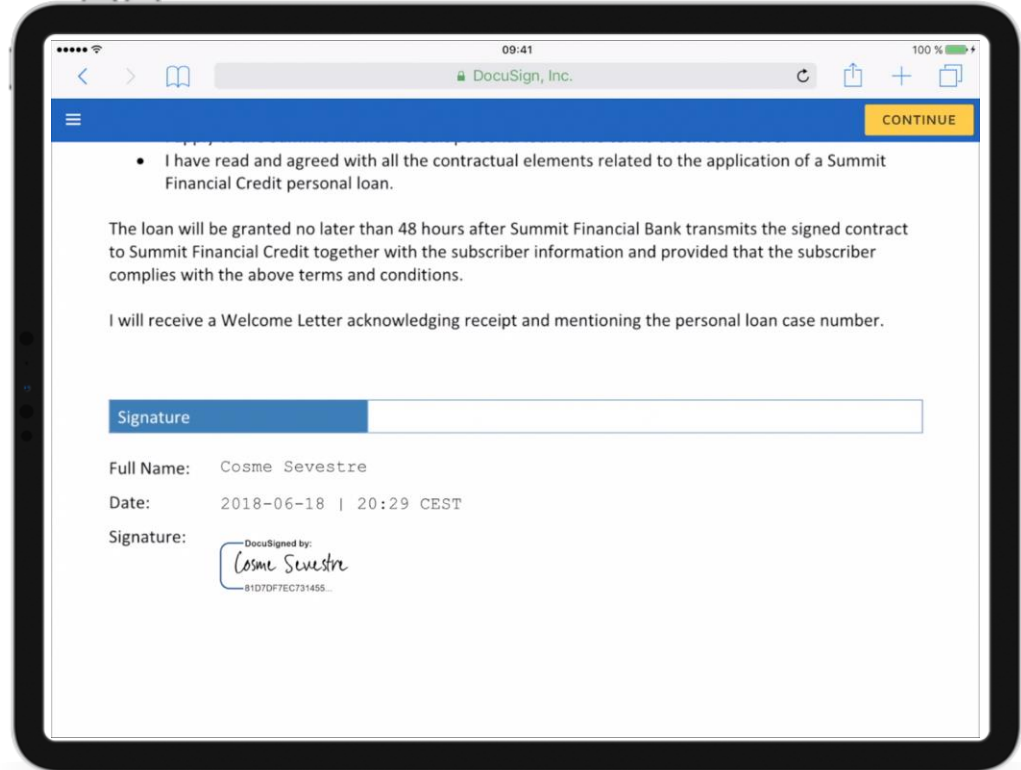
# DocuSign Identify: ID Check for In-Person QES

powered by AriadNEXT

Require a signer to go through face-to-face identity verification

Let signers easily verify their identity by uploading or scanning their ID

Meet eIDAS requirements for a Qualified Electronic Signature (QES), when combined with our Express digital signature



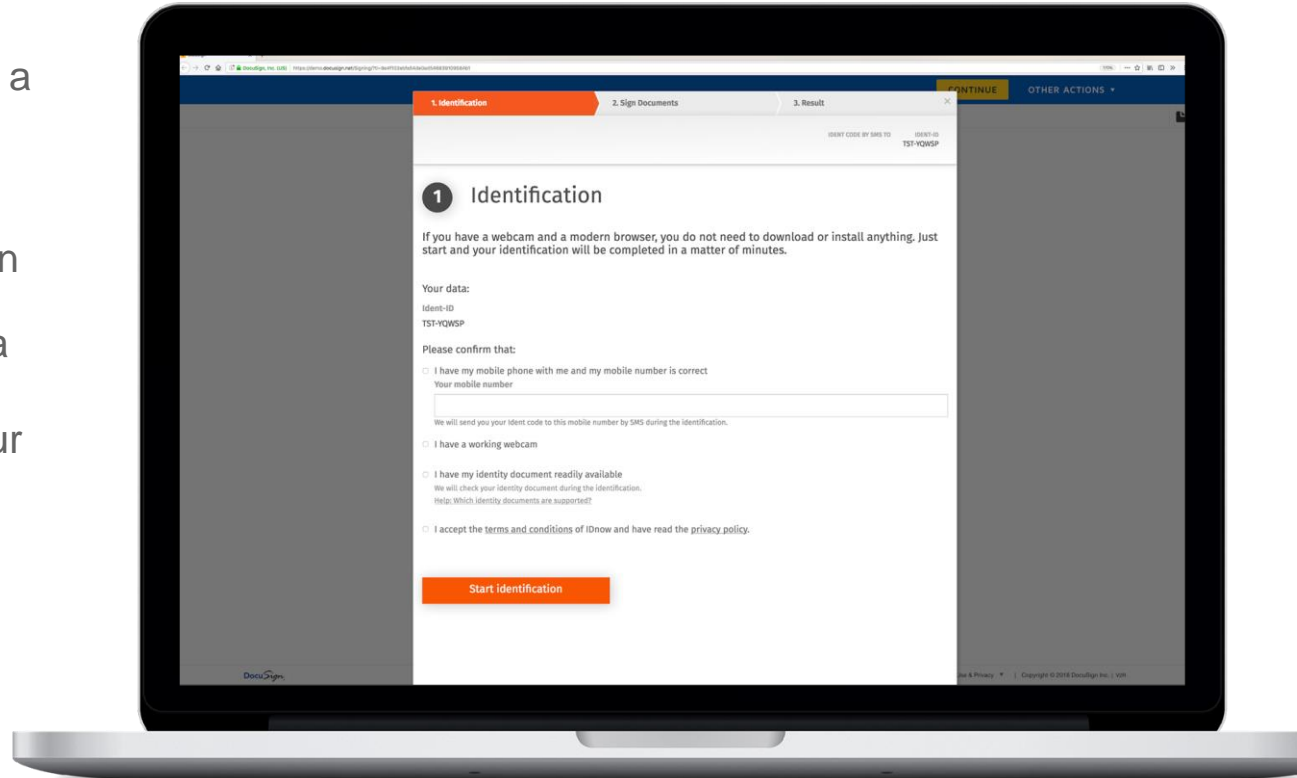
# DocuSign Identify: ID Check for Remote QES

powered by IDnow

Require a signer to go through a live video identity-verification process

Streamline remote identification

Meet eIDAS requirements for a Qualified Electronic Signature (QES), when combined with our Express digital signature



# DocuSign Identify: Custom Verify

Connect your own identification method to identify signers

Integrate your preferred identification solution to meet your requirements

Easily connect your own customer portal to authenticate signers

Leverage DocuSign's open API to streamline identification into the agreement workflow

