



Integrated Technology Solutions

An aerial night view of a city skyline, likely New York City, with numerous skyscrapers illuminated by city lights. The image is overlaid with a semi-transparent blue geometric shape that frames the central text.

**FROM YOUR VISION  
TO SEAMLESS COMMUNICATION.  
THIS IS DATA, EMPOWERED.**

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John Hancock Investments Case Study

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Case Study: DocuBuilder Automation for Regulatory Documents

Client: John Hancock Investments

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### Background

John Hancock Legal had been using another system for the creation and filing of its prospectus and summary prospectuses for the last four years. Originally intended to remove cost, stress and time from their traditional process, it ended up adding an additional layer of complexity and effort. Content and output had to be managed from an IT perspective so that when a change needed to be made a programmer was required. As one user put it, “it was as if our content was under glass, we could see it but we couldn’t touch it without getting someone from IT involved”. Over time it was determined it was easier to pull the document out of the system early and use a traditional typesetting process the rest of the way.

The implications of the poorly executed solution not only affected Legal but rippled to other departments;

- Performance had to reload data multiple times, reviewing each time and costing them a minimum of 1,400 man hours per year
- Treasury had to reload Financial Highlights Gcom files multiple times requiring multiple review sessions and costing them over 600 hours per year
- Billing spent hours reviewing multi-page bills that came months after the filing was completed leading to back-and-forth communications between Legal to verify and pay each invoice

As a result, they decided to look at alternative solutions that could deliver on the promise of true automation. That is, maintain the entire process of content management, document creation, proofing and the generation of all necessary outputs i.e., pdf, html, xbrl, within a single solution

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### Vendor review

JHF put all prospective vendors, including the incumbent, through an HF put all prospective vendors, including the incumbent, through an exhaustive review process; multiple demonstrations, interviews, reference checks all culminating in a brief pilot. During this pilot they had narrowed their selection to three vendors and required access to a test site where they could get a feel for a “day in the life” with each system. In the end, they decided to partner with Appatura and cited their top six reasons listed below:

- Ease of use
- Cost of ownership and overall value
- Superior xbrl capabilities and process
- SME available during the sales and pilot process
- Responsiveness of our team during the pilot period

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### Solution

#### A phased approach

Two requirements that were non-negotiable in order to take on the business were:

- Immediately engage in providing type and filing services in place of current provider
- Provide library and document building services to reduce the on-boarding workload for existing staff

Appatura quickly set up a traditional production module that was able to deliver typeset and filing services for 3,000 pages of material that would be created over the next six months, allowing them to make a clean break from their existing supplier without any production delays.

Simultaneously we began the implementation process for DocuBuilder. Moving or creating content on a new system can be a daunting. This responsibility, on top of an already packed calendar of update cycles, product launches and supplements can make anyone reach for the Tylenol and consider why they considered this in the first place.

To alleviate this concern we used our professional services group to do the heavy lifting in getting the content loaded and the documents setup in DocuBuilder. We took the time to understand their documents and disclosure, developed an intuitive naming convention for components and assisted in preparing workflow and milestones around the first update cycle they would manage using DocuBuilder.

We then loaded all the components and built all the documents required for the targeted update cycle. After receiving comprehensive training they logged into the live site for the first time and all of their documents were ready to be worked. To ensure a smooth transition we had on-site support at certain times to assist and ensure the experience was optimal and value was being recognized. We then turned our attention to the next update cycle in the queue and prepped it so the in-house team never felt the burden of having to do it on their own.

As a result, the paralegals were able to transition from the old to the new with minimal effort, interruption and most importantly greatly reduced stress.

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### Solution benefits

The solution has been implemented for two years and significant gains have been made in all areas touched by the update process.

- Legal have been able to...
  - Improve the quality of life of the department...less chaos and stress
  - Experience an easier update and filing process
- HTML filed 2-3 days before day 120

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- Error free XBRL review process and filed by day 10, the latest being a 3,000 page xbrl filing containing 277 risk return summaries that was flawless.
  - Exercise greater autonomy and control over content, documents and timelines
  - Reduce cost of xbrl and other filing costs
  - Deliver greater consistency of language
  - Free up time to work on language harmonization
  - Reduce OT of staff and bring previously outsourced projects in house
  - Reduce number of distributions and associated cost
- The Performance and Treasury teams have been able to...
  - Save a combined 1,300 hours of time per year due to the systems ability to accurately handle data uploads
  - The review process was cut in half, due to confidence of uploads
  - Leverage existing in house data applications from vendors such as Gcom and Confluence with little or no modifications to existing feeds
  - Billing now receives timely, accurate and simplistic invoicing allowing them to accurately account expenses and take advantage of early payment discounts
- Marketing can exercise better control of branding and handoffs to web team
  - Easily delivers print ready files to printer(s) if their choosing
- Reporting and tracking of key metrics have allowed for better reporting to management and the board of trustees regarding performance efficiencies and savings as well identifying opportunities to further enhance the process.

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### Data Communiqué

Appatura formerly Data Communiqué has been providing component content management solutions and professional services to the mutual fund industry for over 30 years. Our driving principal is to innovate and deliver technology solutions that simplify complex content management and communication processes. To that end, our focus has been on the continuous expansion of products and services that allow us to deliver real tangible value to our clients.

### Contact details

Appatura Inc.  
65 Challenger Road, Suite 400, Ridgefield Park, NJ 07660  
Phone: 800.277.2155, Email: [info@appatura.com](mailto:info@appatura.com)  
[www.appatura.com](http://www.appatura.com)