Vendor Information

ESI LABORATORY, LLC	![ESI LABORATORY, LLC logo — www.esilaboratory.com]
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Company Description

ESI LABORATORY, LLC ("**ESILAB**") is a Chambers ranked (Band 2) global provider of advanced software and data solutions to participants in the legal, regulatory, and financial services sectors.

Our clients include international law firms, global systemically important financial institutions, government agencies, and Fortune 500 companies operating around the world. Our engagements frequently involve billions of dollars, hundreds of millions of data points, tens of millions of documents and thousands of litigants.

Key Individuals

Michael Will is the Co-CEO and founder of ESILAB and has overall responsibility for defining and executing the company's strategy. With a background in both law and technology, Michael has practiced as a litigator (Clifford Chance, Lloyd's of London and Quinn Emanuel Urquhart & Sullivan) and transactional lawyer (Allen & Overy). Michael is a former member of the CFTC's Data Standardization sub-committee and has advised the SEC, CFTC, and U.S. Treasury on matters pertaining to the machine readability of legal agreements. He is also a former co-chair and member of the FpML Standard CSA Working Group.

In 2023 Chambers ranked Michael as one of the leading Litigation Support E-Discovery professionals in the United States.

1. **Overview**

   ESILAB's unique capabilities have been developed in-house specifically to address the unique characteristics of each client engagement and are not licenced to other vendor. For almost a decade this approach has allowed us to focus on providing clients with unparalleled insight into structured, semi-structured, and unstructured data sets that for reasons of size, format and/or complexity are challenging for others to access and comprehend.

2. **Data Expertise**

   The extraction, conversion, normalization, analysis, and delivery of content from a broad spectrum of data formats is the foundation of our business. We are experts in more than 1,000 file formats including databases of all types (Relational, NoSQL, Cloud, Graph etc.), the world wide web, binaries (e.g. PDFs, etc.), data interchange formats (XML, json, etc.), geolocation formats, Internet of Things formats, telematic vehicular formats, productivity formats, syndication formats, mail formats, audiovisual formats, image formats, compression and packaging formats and many more.

3. **Software Modules**

   Each of our client-specific applications incorporate functionality originating from one or more reusable software modules ("**Software Modules**"):

   - **Acquisition Module**

     The Acquisition Module is responsible for automatic data acquisition from a wide variety of sources. It facilitates web scraping for internet content, application

programming interfaces (APIs) for system content, and optical character recognition ("**OCR**") and text/metadata extraction for document content.

- **Identification Module**

  The Identification Module applies rules-based algorithms and artificial intelligence (including machine learning and natural language processing) to unstructured data facilitating such tasks as document classification, clause/paragraph classification, named entity recognition, sentiment analysis and topic modelling.

- **Extraction Module**

  The Extraction Module facilitates the automatic extraction of metadata, text, and images from a broad range of file types. It includes advanced OCR capabilities, such as optical mark recognition, bar code recognition, intelligent character recognition, and magnetic ink character recognition.

- **Conversion/Enrichment Module**

  The Conversion/Enrichment Module is responsible for the automatic conversion of data between over a thousand other electronic formats (e.g. from SQL to JSON, XML, CSV, PDF etc.).

- **Normalization Module**

  The Normalization Module is a standardized image and text pipeline that performs a range of configurable normalization activities designed to improve input data quality.

- **Analytics Module**

  The Analytics Module provides predictive analytics, text analytics, network analytics, sentiment analytics as well as data visualization capabilities.

- **Delivery Module**

  The Delivery module consists of an online multi-model database, search/query engine, communications interface and configurable user interface. The database provides immediate access to NoSQL, relational and other database data in a single, unified platform. The search/query engine facilitates easy access to multiple data sources and formats. The communications interface provides seamless communications with upstream and downstream systems via APIs and database drivers. Finally, a configurable user interface provides clients with the ability to quickly interact with underlying content in a manner most suited to the client's circumstances.

- **Software Deployment**

  All ESILAB applications are accessible from ESILAB's ISO 27001 data centre, client data centres or cloud service providers (Amazon Web Services and Microsoft Azure).

4. **Products**

A number of ESILAB's custom applications have been productized and have been made available online on a subscription basis. These products are detailed below:

- **Search Terms in Context**

  ESILAB's Patent Pending Search Terms in Context application ("**STICS**") provides online subscribers with the ability to expedite the time consuming and expensive process of privilege, second request and data privacy reviews. Reviews conducting using STICS have been proven to be up to 150 times faster than review in alternative document review platforms.

- **OSINT**

  ESILAB's web scraping capability is central to its industrial-scale structured, semi-structured and unstructured Open-Source Intelligence (OSINT) product. Using OSINT subscribers are able to aggregate data from a wide variety of online sources, including

mainstream media, internet publications, and social media platforms. In addition, OSINT has been used to acquire content from public sector data from sources such as PACER, EDGAR, the Federal Register, as well as international corporate registers.

- **Investment Advisor Application**

  The ESILAB Investment Advisor Application (IAA) is designed to provide subscribers with the ability to evaluate the corporate structure, financial condition, affiliations, services, fees, policies, investment strategy, investment portfolio financial performance and disciplinary record of Investment Advisor Firms and related Investment Advisor Representatives. The IAA database is populated with in excess of 650 million data points originating from multiple public and commercial sources.

- **GRID**

  ESILAB's GRID application is designed to provide subscribers with the ability to extract, parse, transform, and export information from tabular structures in excel and pdf formats. To date ESILAB has applied this technology to financial services (asset statements), insurance (loss run reports) and forensic investigations (bank statements, phone records and Internet Protocol address listings).

- **Mortgage-Backed Securities Platform**

  The ESILAB Mortgage-Backed Securities Platform is a subscription review platform designed to cater for the unique characteristics of residential and commercial mortgage-backed securities litigation – perhaps the most data intensive of all "big-ticket" litigation.

  This online application is available to attorneys, experts and reunderwriting vendors alike and has been shown to provide a 65% increase in reviewer efficiency and a 90% increase in expert report data accuracy.

- **Chronos**

  Chronos is an online application designed to provide subscribers with the ability to track the evolution of a document over time at an extremely granular level. Chronos provides this functionality via the application of artificial intelligence and text comparison analytics. The Chronos application has been designed to apply to a wide variety of document types including (but not limited to) SEC annual/quarterly returns, contracts, pharmaceutical labels, computer code and technical manuals.

- **Objective Coding Platform**

  ESILAB's Objective Coding Platform is a subscription application designed to facilitate the identification and objective coding of information (e.g. document type, author, date, recipient, subject matter, and other document characteristics) embedded in scanned documents using artificial intelligence (document classification and named entity recognition) and rules-based algorithms.

- **Cross-Jurisdiction Analysis Platform**

  ESILAB's Cross-Jurisdictional Analysis Platform is an online subscription platform that allows lawyers and compliance professionals in different jurisdictions to create jurisdiction and transaction specific legal reports/opinions in both narrative and data-centric formats. The bifurcated narrative/data-centric approach allows users to create, edit, search, compare, query and report on cross-jurisdictional legal issues at the click of a button. This application has been configured to deliver both free and subscription content.