

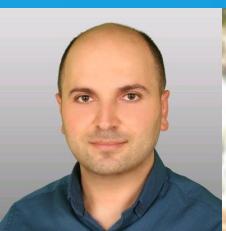


Legal NLP

Certification Trainings

Jan 25, 2023

Bunyamin
Polat



Sai Sailesh
Gadde



David
Cecchini



Merve
Ertas Uslu



Enes
Yilmazturk



Jose Juan Martinez
Finance and Legal NLP Lead
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Welcome - We have a lot of things ahead of us

50 min

Introduction. Text Splitting. Tokenization. Embeddings. Binary, Multiclass, Multilabel Classification

01.Page_Splitting.ipynb
02.Sentence_Splitting_Tokenization.ipynb
03.Word_Sentence_EMBEDDINGS.ipynb
04.0.Clause_Document_Classification.ipynb
04.1.Training_Legal_Binary_Classifier.ipynb

10 min

break

60 min

Named Entity Recognition. Relation Extraction. Training. Zero-shot NER and RE.

05.0.NER_and_ZeroShotNER.ipynb
05.1.Training_Financial_NER.ipynb
05.2.Clause_based_NER.ipynb
05.6.Contextual_Parser_Rule_Based_NER.ipynb
06.0.Relation_Extraction.ipynb
06.1.Relation_Extraction_and_ZeroShotRE.ipynb

10 min

break

50 min

Understand Entities in Context with Assertion Status.
Question&Answering Models. Data Normalization, Mapping, Augmentation

06.1.Relation_Extraction_and_ZeroShotRE.ipynb
07.0.Understand_Entities_in_Context.ipynb
08.0.Answering_Questions_Legal_Texts.ipynb
09.0.Normalization_with_Entity_Resolution_Edgar.ipynb
10.0.Data_Augmentation_with_ChunkMappers.ipynb

10 min

break

50 min

Deidentification. Financial Graph on a real use case. Integration with Visual NLP.

11.Deidentification.ipynb
80.0.WIP_Use_Case_Legal_Agreements.ipynb
90.0.Legal_Visual_Document_Understanding.ipynb
90.1.Layout_Classification_with_VisualNLP.ipynb

https://github.com/JohnSnowLabs/spark-nlp-workshop/tree/master/tutorials/Certification_Trainings_JSL/Legal



STATE OF THE ART

Introduction Reviewing Spark NLP

John Snow Labs in 2022



Globally awarded

As best AI Specialist
of the 2022 year

Global 100



Most popular

NLP library in
the enterprise

O'Reilly Media
PyPI downloads

#1 Accuracy

on 20 benchmarks in
peer-reviewed papers

Papers with Code

Microsoft

Google

amazon

intel

IBM

databricks

verizon[✓]

indeed[✓]

CapitalOne

VIACOM

MCKESSON

MERCK

Roche

selectdata

UiPath Robotic Work.

ASCO[®] CANCER LINQ[™] DISCOVERY

CNRS

Imperial College
London

Georgia Tech

STANFORD
UNIVERSITY

Optimized, Tested, Supported Integrations



python™

kubernetes



Cloud
Dataproc



databricks



Amazon
SageMaker



comet



amazon
EMR

mlflow

kaggle



Google Cloud

Microsoft
Azure

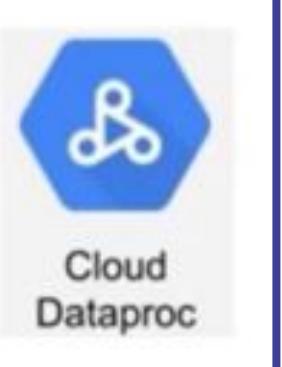


Synapse ML
Simple and Distributed
Machine Learning

Optimized, Tested, Supported Integrations



CLOUDERA



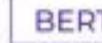
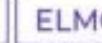
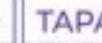
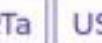
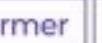
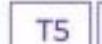
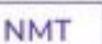
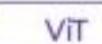
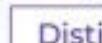
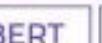
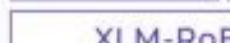
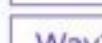
Spark NLP

Community & models hub:
<https://nlp.johnsnowlabs.com>

downloads 40M

downloads/month 2M

Entity Recognition	Information Extraction	Spelling & Grammar	Text Classification	Image Classification
I love Lucy PERSON	They met Last week time 29-04-2020	abc She become the first... -> She became the first	 → 	 → 
Translation	Summarization	Question Answering	Emotion Detection	Automatic Speech Recognition
 [Je t'aime -> I love you]	 → 	 Q&A		 Automatic speech recognition

Split Text <ul style="list-style-type: none"> Sentence Detector Tokenizer Normalizer nGram Generator Word Segmentation 	Clean Text <ul style="list-style-type: none"> Spell Checker Grammar Checker Writing Style Checker Stopword Cleaner Summarization 	12,000+ Pre-trained Pipelines, Models & Transformers	250+ Languages
Understand Grammar <ul style="list-style-type: none"> Stemmer Lemmatizer Part of Speech Tagger Dependency Parser Translation 	Find in Text <ul style="list-style-type: none"> Text Matcher Regex Matcher Date Matcher Chunker Question Answering 	               	

Trainable & Tunable	Scalable to a Cluster	Transformers	Spark MLLib	Community
				

Spark NLP

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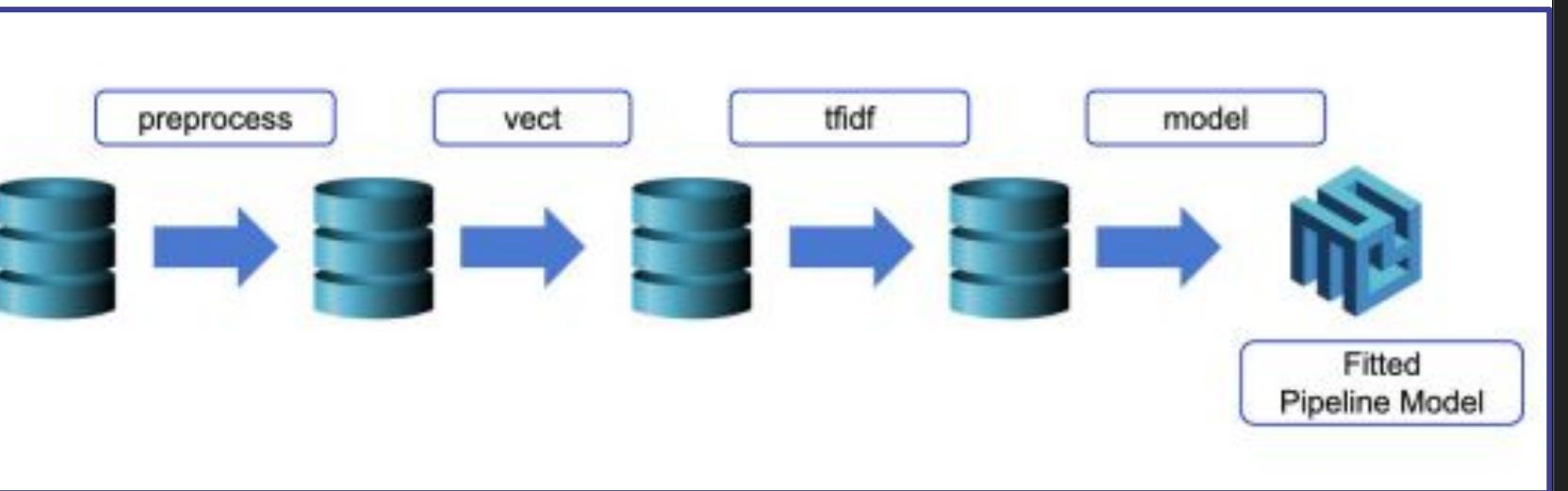
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[Je t'aime -> I love you]		Q&A		

Split Text <ul style="list-style-type: none"> Sentence Detector Tokenizer Normalizer nGram Generator Word Segmentation 	Clean Text <ul style="list-style-type: none"> Spell Checker Grammar Checker Writing Style Checker Stopword Cleaner Summarization 	12,000+ Pre-trained Pipelines, Models & Transformers	250+ Languages
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Trainable & Tunable	Scalable to a Cluster	Transformers	Spark MLLib	Community

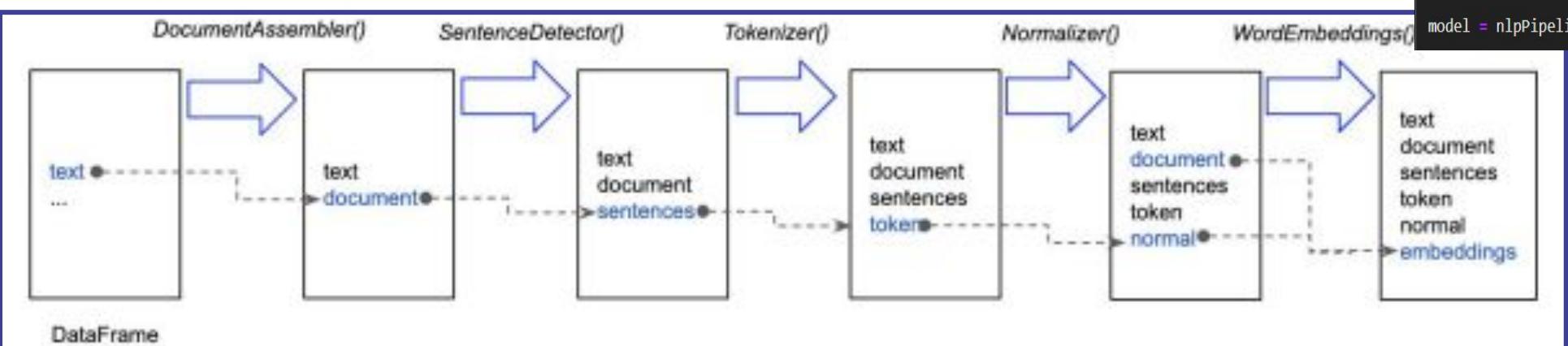
Introducing Spark NLP

Pipeline of annotators



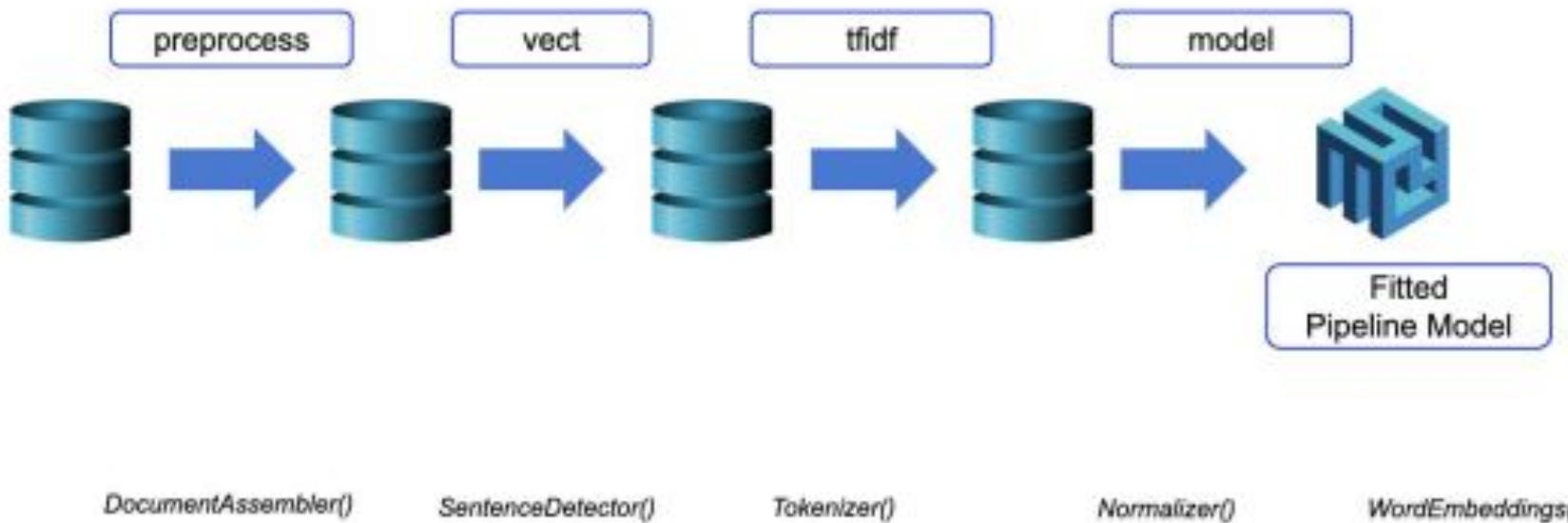
```
documentAssembler = nlp.DocumentAssembler()\n    .setInputCol("text")\n    .setOutputCol("document")\n\n# Consider using SentenceDetector with rules/patterns to get smaller chunks of text\nsentence_detector = nlp.SentenceDetectorDLModel.pretrained("sentence_detector")\n    .setInputCols(["document"])\n    .setOutputCol("sentence")\n\ntokenizer = nlp.Tokenizer()\n    .setInputCols(["sentence"])\n    .setOutputCol("token")\n\nembeddings = nlp.BertEmbeddings.pretrained("bert_embeddings_legal_bert_base_uncased")\n    .setInputCols(["sentence", "token"])\n    .setOutputCol("embeddings")\n\nner_model = finance.NerModel.pretrained("finnern_secton_conll", "en", "finance/models")\n    .setInputCols(["sentence", "token", "embeddings"])\n    .setOutputCol("ner")\n\nner_converter = finance.NerConverterInternal()\n    .setInputCols(["sentence", "token", "ner"])\n    .setOutputCol("ner_chunk")\n\nnlpPipeline = nlp.Pipeline(stages=[\n    documentAssembler,\n    sentence_detector,\n    tokenizer,\n    embeddings,\n    ner_model,\n    ner_converter])
```

```
empty_data = spark.createDataFrame([[""]]).toDF("text")\nmodel = nlpPipeline.fit(empty_data)
```

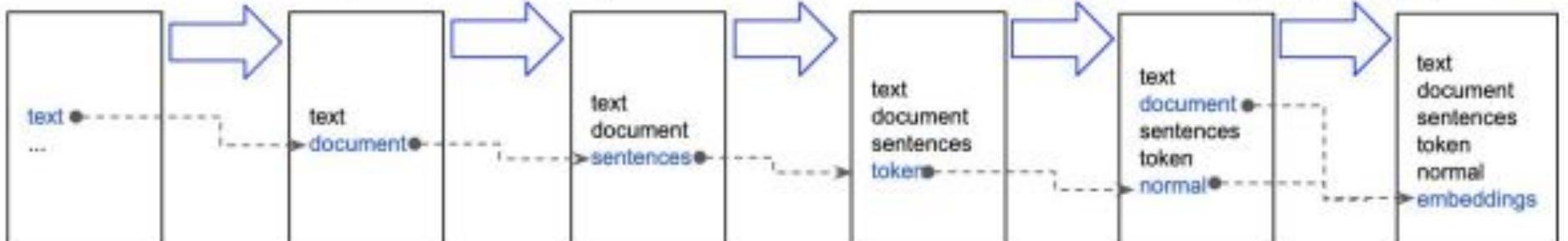


Introducing Spark NLP

Pipeline of annotators



DocumentAssembler() SentenceDetector() Tokenizer() Normalizer() WordEmbeddings()



DataFrame

```
documentAssembler = nlp.DocumentAssembler()\n    .setInputCol("text")\n    .setOutputCol("document")\n\n# Consider using SentenceDetector with rules/patterns to get smaller chunks of text\nsentence_detector = nlp.SentenceDetectorDLModel.pretrained("sentence_detector")\n    .setInputCols(["document"])\n    .setOutputCol("sentence")\n\ntokenizer = nlp.Tokenizer()\n    .setInputCols(["sentence"])\n    .setOutputCol("token")\n\nembeddings = nlp.BertEmbeddings.pretrained("bert_embeddings_legal_bert_base_uncased")\n    .setInputCols(["sentence", "token"])\n    .setOutputCol("embeddings")\n\nner_model = finance.NerModel.pretrained("finnern_sect_conll", "en", "finance/models")\n    .setInputCols(["sentence", "token", "embeddings"])\n    .setOutputCol("ner")\n\nner_converter = finance.NerConverterInternal()\n    .setInputCols(["sentence", "token", "ner"])\n    .setOutputCol("ner_chunk")\n\nnlpPipeline = nlp.Pipeline(stages=[\n    documentAssembler,\n    sentence_detector,\n    tokenizer,\n    embeddings,\n    ner_model,\n    ner_converter])\n\nempty_data = spark.createDataFrame([[""]]).toDF("text")\nmodel = nlpPipeline.fit(empty_data)
```

Spark NLP can be run both at **cluster level**, leveraging all the nodes, and a **master-only level**, working only in the driver machine (*1 node*)

```
documentAssembler = nlp.DocumentAssembler()\
    .setInputCol("text")\
    .setOutputCol("document")

# Consider using SentenceDetector with rules/patterns to get smaller chunks from long sentences
sentence_detector = nlp.SentenceDetectorDLModel.pretrained("sentence_detector_dl", "xx")\
    .setInputCols(["document"])\
    .setOutputCol("sentence")

tokenizer = nlp.Tokenizer()\
    .setInputCols(["sentence"])\
    .setOutputCol("token")

embeddings = nlp.BertEmbeddings.pretrained("bert_embeddings_legal_bert_base_uncased", "en")\
    .setInputCols(["sentence", "token"])\
    .setOutputCol("embeddings")

ner_model = finance.NerModel.pretrained("finner_sec_conll", "en", "finance/models") \
    .setInputCols(["sentence", "token", "embeddings"])\
    .setOutputCol("ner")

ner_converter = finance.NerConverterInternal()\
    .setInputCols(["sentence", "token", "ner"])\
    .setOutputCol("ner_chunk")

nlpPipeline = nlp.Pipeline(stages=[

    documentAssembler,
    sentence_detector,
    tokenizer,
    embeddings,
    ner_model,
    ner_converter])

empty_data = spark.createDataFrame([[""]]).toDF("text")

model = nlpPipeline.fit(empty_data)
```

Cluster level: Uses Spark MLlib **Pipelines** and **fit/transform**.

```
text = '''December 2007 SUBORDINATED LOAN AGREEMENT. THE  
df = spark.createDataFrame([[text]]).toDF("text")  
result = model.transform(df)
```

Result:

Spark
Dataframe

scalable to millions of documents, slow for very few documents

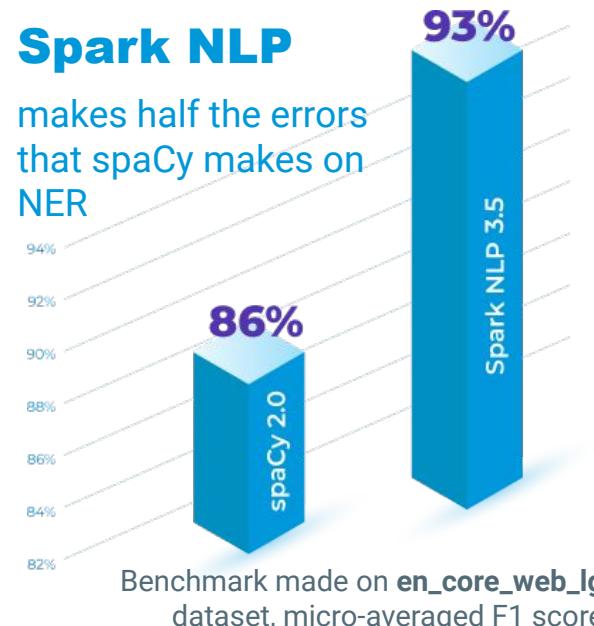


Spark NLP

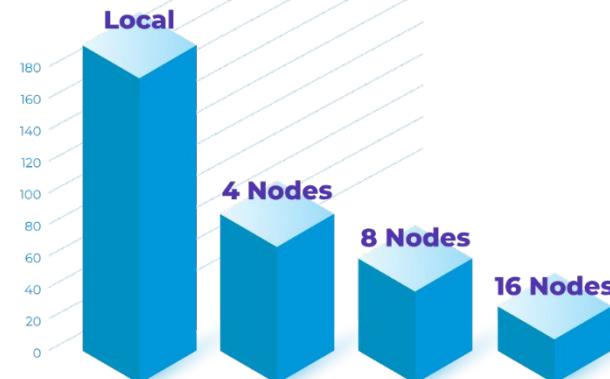
is natively scalable and production-ready

Spark NLP

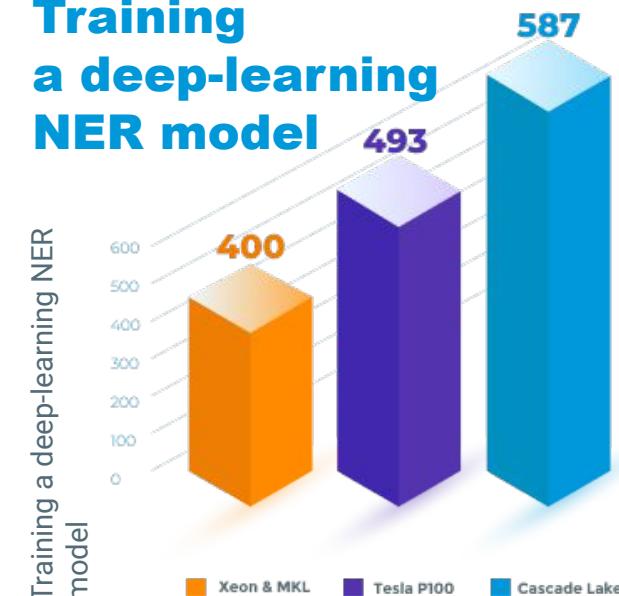
makes half the errors
that spaCy makes on
NER



Speedup on Cluster (less is better)



Training a deep-learning NER model

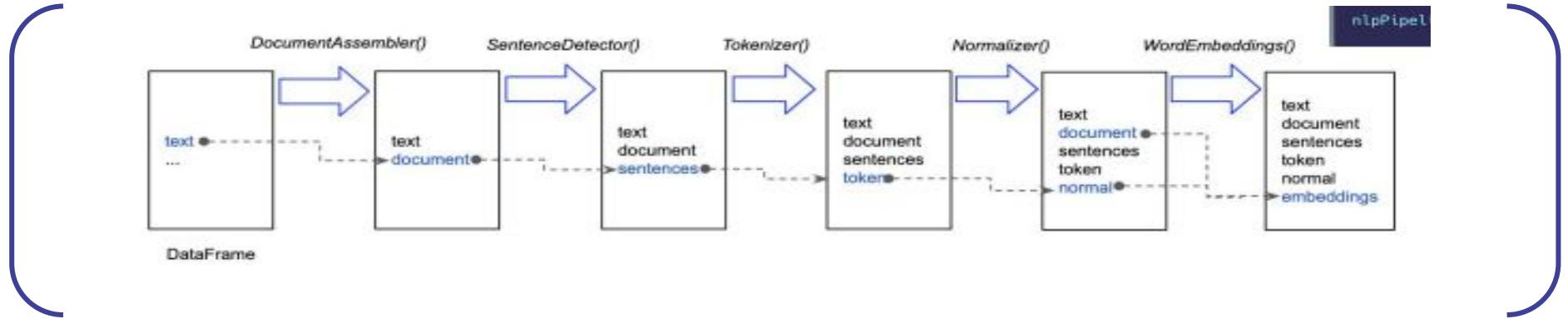


Accuracy

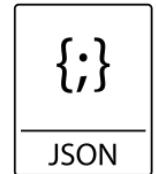
Scalability

Speed

nlp.LightPipeline



Thunder fast for few documents,
not parallelizable



Json-friendly

Spark NLP can be run both at **cluster level**, leveraging all the nodes, and a **master-only level**, working only in the driver machine (*1 node*)

```
documentAssembler = nlp.DocumentAssembler()\
    .setInputCol("text")\
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    .setInputCols(["sentence"])\
    .setOutputCol("token")

embeddings = nlp.BertEmbeddings.pretrained("bert_embeddings_legal_bert_base_uncased", "en")\
    .setInputCols(["sentence", "token"])\
    .setOutputCol("embeddings")

ner_model = finance.NerModel.pretrained("finner_sec_conll", "en", "finance/models")\
    .setInputCols(["sentence", "token", "embeddings"])\
    .setOutputCol("ner")

ner_converter = finance.NerConverterInternal()\
    .setInputCols(["sentence", "token", "ner"])\
    .setOutputCol("ner_chunk")

nlpPipeline = nlp.Pipeline(stages=[

    documentAssembler,
    sentence_detector,
    tokenizer,
    embeddings,
    ner_model,
    ner_converter])

empty_data = spark.createDataFrame([[""]]).toDF("text")

model = nlpPipeline.fit(empty_data)
```

Cluster level: Uses Spark MLlib **Pipelines** and **fit/transform**.

```
text = '''December 2007 SUBORDINATED LOAN AGREEMENT. THE  
df = spark.createDataFrame([[text]]).toDF("text")  
result = model.transform(df)
```

Result:

Spark
Dataframe

scalable to millions of documents, slow for very few documents

Driver-only: Used **LightPipelines** and **annotate/fullAnnotate**

```
light_model = nlp.LightPipeline(model)  
light_result = light_model.fullAnnotate(text)
```

Result:

json

thunder fast for few documents, not scalable

Introducing Spark NLP



Spark is like a locomotive racing a bicycle. The bike will win if the load is light, it is quicker to accelerate and more agile, but with a heavy load the locomotive might take a while to get up to speed, but it's going to be faster in the end.

Faster inference

```
from sparknlp.base import LightPipeline  
LightPipeline(someTrainedPipeline).annotate(someStringOrArray)
```

LightPipelines are Spark ML pipelines converted into a single machine but multithreaded task, becoming more than 10x times faster for smaller amounts of data (small is relative, but 50k sentences is roughly a good maximum).

New johnsnowlabs library

In 2022, we introduced the *johnsnowlabs* library, which allows you to get your environment ready with just a couple of lines.

How to run

Legal NLP is very easy to run on both clusters and driver-only environments using `johnsnowlabs` library:

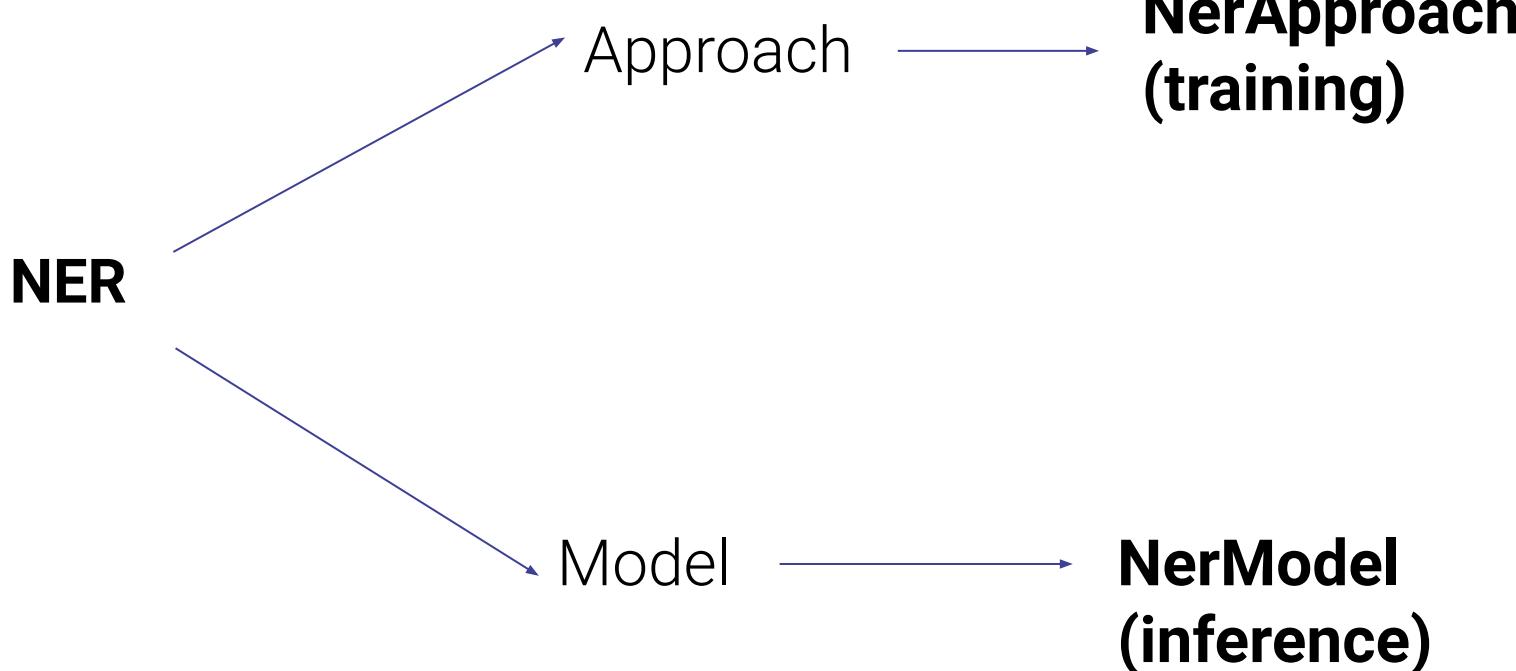
```
!pip install johnsnowlabs
```

```
nlp.install(force_browser=True)  
nlp.start()
```

Approach

Model

Training and Inference



This Named Entity recognition annotator allows to train generic NER model based on Neural Networks.

The architecture of the neural network is a Char CNNs - BiLSTM - CRF that achieves state-of-the-art in most datasets.

For instantiated/pretrained models, see NerDLMModel.

The training data should be a labeled Spark Dataset, in the format of [CoNLL 2003 IOB](#) with [Annotation](#) type columns. The data should have columns of type DOCUMENT, TOKEN, WORD_EMBEDDINGS and an additional label column of annotator type NAMED_ENTITY. Excluding the label, this can be done with for example

- a [SentenceDetector](#)
- a [Tokenizer](#) and
- a [WordEmbeddingsModel](#) with clinical embeddings (any [clinical word embeddings](#) can be chosen).

For extended examples of usage, see the [Spark NLP Workshop](#) (sections starting with [Training a Clinical NER](#))

Input Annotator Types: DOCUMENT, TOKEN, WORD_EMBEDDINGS

Output Annotator Type: NAMED_ENTITY

Python API: [MedicalNerApproach](#) **Scala API:** [MedicalNerApproach](#)

Show Example

Python Scala

Medical Finance Legal

```

from johnsnowlabs import *

# First extract the prerequisites for the NerDLApproach
documentAssembler = nlp.DocumentAssembler() \
.setInputCol("text") \
.setOutputCol("document")

sentence = nlp.SentenceDetector() \
.setInputCols(["document"]) \
.setOutputCol("sentence")

tokenizer = nlp.Tokenizer() \
.setInputCols(["sentence"]) \
.setOutputCol("token")

clinical_embeddings = nlp.WordEmbeddingsModel.pretrained('embeddings_clinical', "en", "clinical/models") \
.setInputCols(["sentence", "token"]) \
.setOutputCol("embeddings")

# Then the training can start
nerTagger = medical.NerApproach() \
.setInputCols(["sentence", "token", "embeddings"]) \
.setLabelColumn("label") \
.setOutputCol("ner") \
.setMaxEpochs(2) \
.setBatchSize(64)
  
```

NerModel.**pretrained**(...) loads a model trained with NerApproach and uploaded to ModelsHub.



STATE OF THE ART

Introduction Legal NLP

Legal NLP



Legal Entity Recognition	Legal Entity Linking	Assertion Status	Relation Extraction
<p>This Loan Agreement dated as of November 17, 2014 (this «Agreement»), is made by and among Auxilium Pharmaceuticals, Inc., a corporation incorporated under the laws of the State of Delaware («U.S. Borrower»), Auxilium UK LTD, a private company limited by shares registered in England and Wales («UK Borrower») and, collectively with the U.S. Borrower, the «Borrowers» and Endo Pharmaceuticals Inc., a corporation incorporated under the laws of the State of Delaware («Lender»).</p>	<p>Sector & Industry Finance (4800) Major Banks (4805)</p> <p>Fiscal Year End December</p> <p>Exchange/ISIN SIX Swiss/CH0244767585</p> <p>SEDOL BR0176</p> <p>Investor Relations Contact Martin A. Osinga</p> <p>LEI 5493005ZJ9VS85GXANS1</p>	<p>Designates to sign the form of 731 and other documentation: → TRUE</p> <p>Neither...nor...is subject to a denial... → FALSE</p> <p>...may require approval to... → POSSIBLE</p>	<p>Sauer Christopher</p> <p>↓ ↓</p> <p>designates works for has_power</p> <p>Michael Lin Sporton International Sign 731 form</p>
<p>UBS Group AG is a holding company, which engages in the provision of financial management solutions. It operates through the following segments: Global Wealth Management, Personal and Corporate Banking, Asset Management; Investment Bank and Corporate Center. The Global Wealth Management segment advises and offers financial services to wealthy private clients except those served by Wealth Management Americas which include banking and lending, wealth planning, and investment management. The Personal and Corporate segment offers financial products and services to private, corporate, and institutional clients in Switzerland. The Asset Management segment consists of investment management products and services, platform solutions and advisory support to institutions; wholesale intermediaries, and wealth management clients. The Investment Bank segment comprises investment advice, financial solutions, and capital markets access among corporate, institutional, and wealth management clients. The Corporate Center segment is involved in the services, group asset and liability management and non-core and legacy portfolio. The company was founded on June 29, 1998 and is headquartered in.</p>	<p>Legal Embeddings</p> <p>Document Splitting</p> <p>Knowledge Graphs</p> <p>Long Span Extraction with Question Answering</p>	<p>Zero-shot Relation Extraction</p> <p>Clause Extraction</p> <p>Pattern Matching and Text Mining</p> <p>Deidentification</p>	



Legal NLP Infrastructure

Free 30-days trial with guidance and support from our data scientists, software engineers and business experts!

- Install **on-premises (locally)**
 - **Fully compliant, air-gapped environments**
- Use it in the **cloud** with ready-to-use images in Databricks, AWS and Azure
- **Automatic scalability** in environments Databricks, AWS EMR and Azure HDInsight



Install Guide

Tell us what you need and we'll guide you how to get it.

Choose Product

NLP Libraries

Annotation Lab

Choose Edition

FREE
Community

Healthcare

Finance

Legal

Visual / OCR

Where to Install

on Premise

FREE TRIAL
on AWS Marketplace

FREE TRIAL
on Azure Marketplace

FREE TRIAL
on Databricks

Autopilot Options

- Enable autoscaling ?
 Terminate after minutes of inactivity ?

Worker Type ?

Standard_DS3_v2 14.0 GB Memory, 4 Cores, 0.75 DBU | Min Workers Max Workers 2 8 Spot instances ?

New Configure separate pools for workers and drivers for flexibility. [Learn more](#)

Driver Type

Same as worker 14.0 GB Memory, 4 Cores, 0.75 DBU |

1.508 x 1.226

John Snow Labs NLP Documentation



Spark NLP



Healthcare NLP
Legal NLP
Finance NLP



Visual NLP



NLP Lab



NLP Server



John Snow Labs NLP

NLP Models Hub

A place for sharing and discovering Spark NLP models and pipelines

Search models and pipelines 

Show All  models & pipelines in All Languages  for All versions 



All versions
All Spark NLP versions
All Healthcare NLP versions
All Visual NLP versions
All Finance NLP versions
All Legal NLP versions
Spark NLP 4.3
Spark NLP 4.2
Spark NLP 4.1
Spark NLP 4.0
Spark NLP 3.4
Spark NLP 3.3
Spark NLP 3.2
Spark NLP 3.1
Spark NLP 3.0
Spark NLP 2.7
Spark NLP 2.6
Spark NLP 2.5
Spark NLP 2.4
Healthcare NLP 4.2

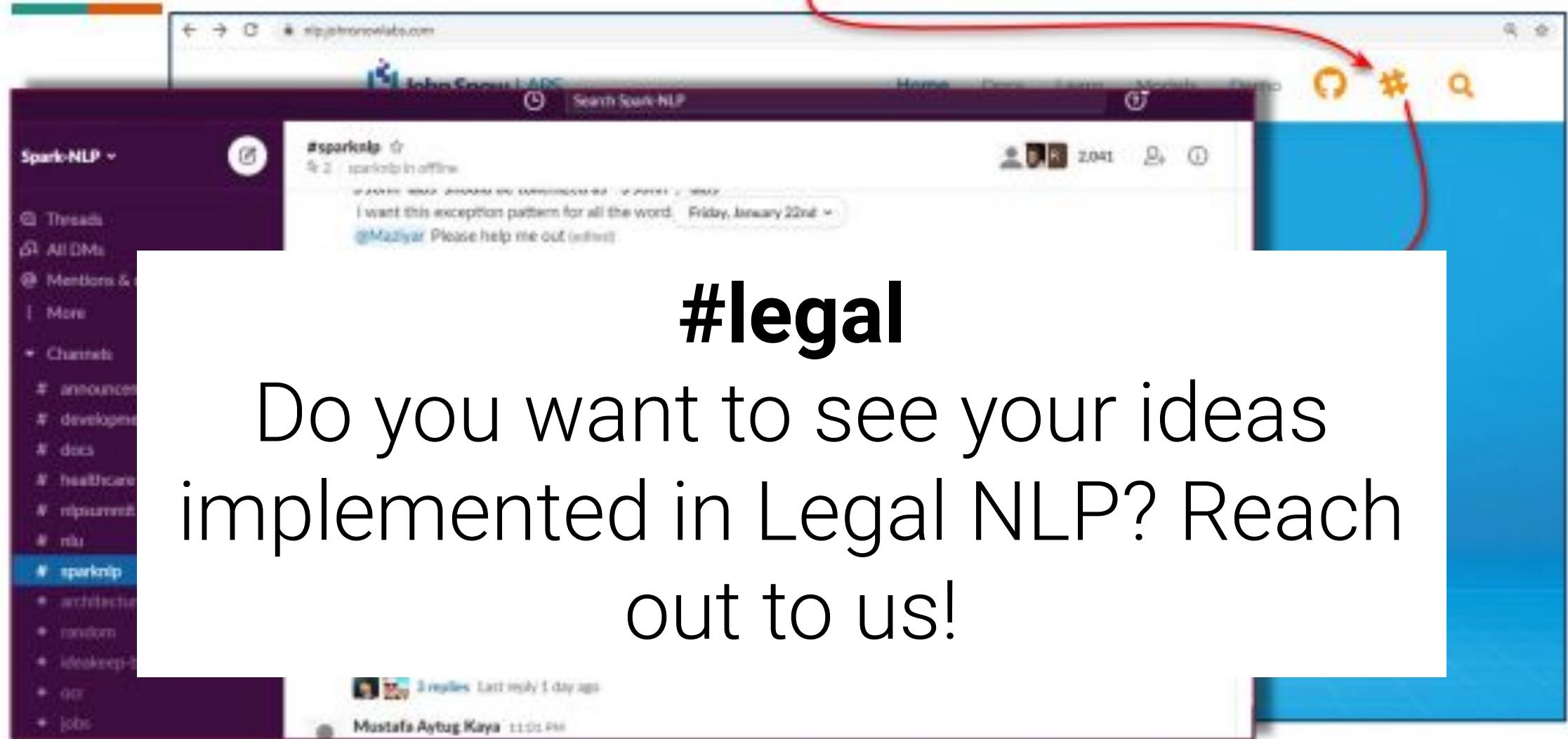
13,728 Models & Pipelines Results:

Supported models only

<p>SUPPORTED</p> <p>Receipts Binary Classification</p> <p></p> <p>Date: 09.2022</p> <p>task: Image Classification</p> <p>Language: English</p>	<p>SUPPORTED</p> <p>ESG Text Classification (Augmented, 26 classes)</p> <p></p> <p>Date: 09.2022</p> <p>task: Text Classification</p> <p>Language: English</p>	<p>SUPPORTED</p> <p>Legal Zero-shot NER</p> <p></p> <p>Date: 09.2022</p> <p>task: Named Entity Recognition</p> <p>Language: English</p>
--	--	---

Spark-NLP Slack Channels

spark-nlp.slack.com



The screenshot shows a Slack channel named '#sparknlp'. A message from user @Maziyar asks for help with creating an exception pattern for the word 'Friday'. The message includes a timestamp of Friday, January 22nd, 2021, and a reply from @Mustafa_Aytug_Kaya.

#legal

Do you want to see your ideas implemented in Legal NLP? Reach out to us!

Jose Juan Martinez
Jan 19 · 4 min read · Listen



Legal NLP 1.6.0: Applicable Law, Dispute clauses, new embeddings and much more!

<https://medium.com/spark-nlp>

<https://medium.com/john-snow-lab>



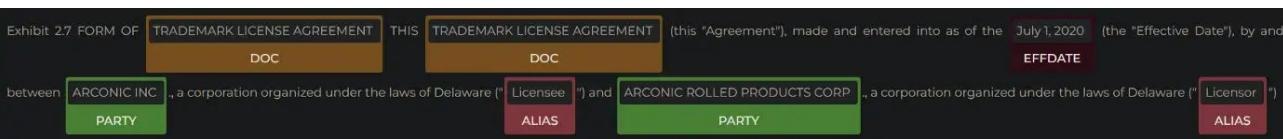
Image credit: Kira Systems

We are happy to announce the Legal NLP 1.6.0 is out.

Legal NLP is a [John Snow Lab's](#) product, launched 2022 to provide state-of-the-art, autoscalable, domain-specific NLP on top of Spark.

With more than 600 models, featuring Deep Learning and Transformer-based architectures, Legal NLP includes:

- Annotators to carry out Name Entity Recognition Assertion Status / Understanding Entities in Contracts



Applicable Law NER and Classification

Classify paragraphs talking about Applicable Law and extract the laws from them using `legclf_applicable_law_cuad_en` and `legner_applicable_law_clause`.

10.2 Notices Notices under this Agreement shall be sufficient only if personally delivered, delivered by a major commercial rapid delivery courier service, or E-mail and other digital communication system, with return receipt requested, to a party at its address first set forth above or as amended by notice pursuant to this subsection. If not received sooner, notice by any of these methods shall be deemed to occur seven(7) business days after deposit.
10.3 Compliance with Local Laws Manufacturer will comply with all applicable laws, restrictions and regulations in the Peoples Republic of China.
APPLIC LAW EMV will comply with all applicable laws, restrictions and regulations in Canada. **APPLIC LAW** 10.4 Arbitration and Governing Law All disputes arising out of or in connection with this contract, or in respect of any defined legal relationship associated therewith or derived therefrom, shall be referred to and finally resolved by administered by the Hong Kong International Arbitration Centre (HKIAC) under the UNCITRAL Arbitration Rules in force when the Notice of Arbitration is submitted, as modified by the HKIAC Procedures for the Administration of International Arbitration. The place of arbitration shall be Hong Kong. This Agreement shall be governed by and construed under the laws of Hong Kong **APPLIC LAW** without regard to choice of laws principles. The language of arbitration shall be English 10.5 Partial Invalidity If any provision of this Agreement is held to be invalid, then the remaining provisions shall nevertheless remain in full force and effect, and the invalid or unenforceable provision shall be replaced by a term or provision that is valid and enforceable and that comes closest to expressing the intention of such invalid or unenforceable term or provision. 10.6 No Agency The parties hereto are independent contractor

APPLIC LAW NER

Dispute Clauses Law NER and Classification

Classify paragraphs talking about Dispute Clauses using `legclf_dispute_clauses_cuad` and extract entities from them using `legner_dispute_clauses`.

10.2 Notices Notices under this Agreement shall be sufficient only if personally delivered, delivered by a major commercial rapid delivery courier service, or E-mail and other digital communication system, with return receipt requested, to a party at its address first set forth above or as amended by notice pursuant to this subsection. If not received sooner, notice by any of these methods shall be deemed to occur seven(7) business days after deposit.
10.3 Compliance with Local Laws Manufacturer will comply with all applicable laws, restrictions and regulations in the Peoples Republic of China. EMV will comply with all applicable laws, restrictions and regulations in Canada. 10.4 Arbitration and Governing Law All disputes arising out of or in connection with this contract, or in respect of any defined legal relationship associated therewith or derived therefrom, shall be referred to and finally resolved by administered by the Hong Kong International Arbitration Centre **COURT NAME** (HKIAC) under the UNCITRAL Arbitration Rules **RULES NAME** in force when the Notice of Arbitration is submitted, as modified by the HKIAC Procedures for the Administration of International Arbitration **RULES NAME**. The place of arbitration shall be Hong Kong. This Agreement shall be governed by and construed under the laws of Hong Kong without regard to choice of laws principles. The language of arbitration shall be English 10.5 Partial Invalidity If any provision of this Agreement is held to be invalid, then the remaining provisions shall nevertheless remain in full force and effect, and the invalid or unenforceable provision shall be replaced by a term or provision that is valid and enforceable and that comes closest to expressing the intention of such invalid or unenforceable term or provision. 10.6 No Agency The parties hereto are independent contractor

COURT_NAME and **RULES_NAME**



STATE OF THE ART

Legal NLP, Visual NLP and
NLP Lab

Projects

- CUAD_legal_dataset
 - Analytics
 - Tasks
 - Train
 - Setup

Hub

Settings

EXHIBIT TU.Z

Execution Version

INTELLECTUAL PROPERTY AGREEMENT DOC

This INTELLECTUAL PROPERTY AGREEMENT DOC (this "Agreement"), dated as of December 31, 2018 EFFDATE (the "Effective Date") is entered into by and between Armstrong Flooring, Inc PARTY, a Delaware corporation ("Seller ROLE") and AFI Licensing LLC PARTY, a Delaware limited liability company ("Licensing ROLE" and together with Seller ROLE, "Arizona ROLE") and AHF Holding, Inc PARTY (formerly known as Tarzan HoldCo, Inc PARTY), a Delaware corporation ("Buyer ROLE") and Armstrong Hardwood Flooring Company PARTY, a Tennessee corporation (the "Company ROLE" and together with Buyer ROLE the "Buyer Entities ROLE") (each of Arizona ROLE on the one hand and the Buyer Entities ROLE on the other hand, a "Party" and collectively, the "Parties").

WHEREAS, Seller and Buyer have entered into that certain Stock Purchase Agreement, dated November 14, 2018 (the "Stock Purchase Agreement"); WHEREAS, pursuant to the Stock Purchase Agreement, Seller has agreed to sell and transfer, and Buyer has agreed to purchase and acquire, all of Seller's right, title and interest in and to Armstrong Wood Products, Inc., a Delaware corporation ("AWP") and its Subsidiaries, the Company and HomerWood Hardwood Flooring Company, a Delaware corporation ("HHFC," and together with the Company, the "Company Subsidiaries" and together with AWP, the "Company Entities" and each a "Company Entity") by way of a purchase by Buyer and sale by Seller of the Shares, all upon the terms and condition set forth therein;

View 3600 Characters Per Page 1 2 3 4 5 ... 14 > Page 1 [Ctrl+Space] Next

aleksei

ID 512007

Updated 6 months ago

00:14:10

aubrey

ID 512006

Submitted 5 months ago

01:13:21

ID 512004

Submitted 8 months ago

00:02:59

ID 512003

Submitted 8 months ago

00:05:26

ID 512002

Submitted 8 months ago

01:21:58

juan

ID 512001

Predictions

No predictions

Zero-shot and Prompt engineering in NLP Lab

The screenshot shows the John Snow LABS NLP Lab interface. The left sidebar includes sections for Projects, Hub (selected), NLP Models HUB, Models, Embeddings, Rules, Prompts (selected), and Settings. The main area is titled "HUB / Prompts" and "Prompts". It features a search bar with placeholder "Q_ city". A card for a prompt named "CITY" is displayed, showing it was created by "admin" one day ago, uses a "HEALTHCARE" Reference LM Model, and contains two examples: "1 Which city?" and "2 Which is the city?". A context menu is open over the "CITY" card, listing "Playground", "Edit", and "Delete". At the bottom, there are buttons for "View 15 Prompts per page", "Showing 1-1 of 1 Prompts", and navigation arrows. The top right has buttons for "Add Prompt" and "Import Prompt".

John Snow LABS

HUB / Prompts

Prompts

Q_ city

CITY
NER | Created by: admin on 1 day ago

Reference LM Model: HEALTHCARE

1 Which city?
2 Which is the city?

Playground

Edit

Delete

View 15 Prompts per page

Showing 1-1 of 1 Prompts

Add Prompt Import Prompt

admin

28



STATE OF THE ART

Text Splitting Legal NLP

Welcome - We have a lot of things ahead of us

50 min

Introduction. Text Splitting. Tokenization. Embeddings. Binary, Multiclass, Multilabel Classification

[01.Page_Splitting.ipynb](#)

[02.Sentence_Splitting_Tokenization.ipynb](#)

[03.Word_Sentence_EMBEDDINGS.ipynb](#)

[04.0.Clause_Document_Classification.ipynb](#)

[04.1.Training_Legal_Binary_Classifier.ipynb](#)

10 min

break

60 min

Named Entity Recognition. Relation Extraction. Training. Zero-shot NER and RE.

[05.0.NER_and_ZeroShotNER.ipynb](#)

[05.1.Training_Financial_NER.ipynb](#)

[05.2.Clause_based_NER.ipynb](#)

[05.6.Contextual_Parser_Rule_Based_NER.ipynb](#)

[06.0.Relation_Extraction.ipynb](#)

[06.1.Relation_Extraction_and_ZeroShotRE.ipynb](#)

10 min

break

50 min

Understand Entities in Context with Assertion Status.

Question&Answering Models. Data Normalization, Mapping, Augmentation

[06.1.Relation_Extraction_and_ZeroShotRE.ipynb](#)

[07.0.Understand_Entities_in_Context.ipynb](#)

[08.0.Answering_Questions_Legal_Texts.ipynb](#)

[09.0.Normalization_with_Entity_Resolution_Edgar.ipynb](#)

[10.0.Data_Augmentation_with_ChunkMappers.ipynb](#)

10 min

break

50 min

Deidentification. Financial Graph on a real use case. Integration with Visual NLP.

[11.Deidentification.ipynb](#)

[80.0.WIP_Use_Case_Legal_Agreements.ipynb](#)

[90.0.Legal_Visual_Document_Understanding.ipynb](#)

[90.1.Layout_Classification_with_VisualNLP.ipynb](#)

https://github.com/JohnSnowLabs/spark-nlp-workshop/tree/master/tutorials/Certification_Trainings_JSL/Legal

Splitting Legal texts

One of the first tasks when applying NLP to texts is **splitting**. Splitting means dividing the text into smaller chunks.

The main component to do that is **SentenceDetector**, a rule-based annotator, or **SentenceDetectorDL**, a pretrained, deep-learning based **Sentence Detector**. Don't get confused by the name, it could return whole **paragraphs or sections** as well using the setter `setCustomBounds()`. Other relevant setters: `setUseCustomBoundsOnly()` and `setCustomBoundsStrategy()`.

AGREEMENT

NOW, THEREFORE, for good and valuable consideration, and in consideration of the mutual covenants and conditions herein contained, the Parties agree as follows:

2. Definitions. For purposes of this Agreement, the following terms have the meanings ascribed thereto in this Section 1. 2.
Appointment as Reseller.

2.1 Appointment. The Company hereby [***]. Allscripts may also disc
Processing Services and facilitate procurement of Merchant Process
without limitation by references to such pricing information and Me

2.2 Customer Agreements.

a) Subscriptions. Allscripts and its Affiliates may sell Subscriptions for
years on a subscription basis to Persons who subsequently execute a
into Customer Agreements with terms longer than four (4) years with
each instance in writing in advance, which consent will not be unreas

```
text = """
4. GRANT OF KNOW-HOW LICENSE
4.1 Arizona Know-How Grant. Subject to the terms and conditions of this Agreement, Arizona hereby grants
4.2 Company Know-How Grant. Subject to the terms and conditions of this Agreement, the Company hereby grants
5. GRANT OF PATENT LICENSE
5.1 Arizona Patent Grant. Subject to the terms and conditions of this Agreement, Arizona hereby grants
"""


```

```
documentAssembler = nlp.DocumentAssembler()\n    .setInputCol("text")\n    .setOutputCol("document")
```

```
paragraphDetector = nlp.SentenceDetector()\n    .setInputCols(["document"])\n    .setOutputCol("paragraph")\n    .setCustomBounds([\n        "\n[\d.]+"
    ])\n    .setCustomBoundsStrategy('prepend')\n
```

Splitting Legal texts

Sentence *Splitting* is very important for all the NLP use cases we are going to comment later on:

- For **Text Classification**, Sentence Detector will decide how much information will be sent to the Classifier.
 - Missing text could retrieve bad predictions
 - Passing too much may make the model ignore due to *token restrictions*, or get the *information mixed or deluded* (where you miss the key information in an ocean of other stuff).

'The IC and SoC design excellence requires technologies for custom IC, digital IC design and signoff, and functional verification, and leverages pre-built semiconductor IP. These tools, IP and associated services are specifically designed to meet the growing requirements of engineers designing increasingly complex chips across analog, digital and mixed-signal domains, and perform the associated verification tasks, including validation of low-level software running on the silicon model, thereby enabling design teams to manage complexity and verification throughput without commensurately increasing the team size or extending the project schedule, while reducing technical risks.\nThe second layer of our strategy centers around system innovation. It includes tools and services used for system design of the packages that encapsulate the ICs and the PCBs, system simulation which includes electromagnetic, electro-thermal and other multi-physics analysis necessary as part of optimizing the full system's performance, radio frequency ("RF") and microwave systems, and embedded software.\nThe third layer of our strategy addresses pervasive intelligence in new electronics. It starts with providing solutions and services to develop AI-enhanced systems and includes machine learning and deep learning capabilities being added to the Cadence\n\n technology portfolio to make IP and tools more automated and to produce optimized results faster.\nOur software and emulation products also support cloud access to address the growing computational needs of our customers.Recent Acquisitions During fiscal 2021, we continued to execute our Intelligent System Design strategy and expanded our product offerings and solutions into computational fluid dynamics ("CFD") with our acquisitions of Belgium-based NUMECA International, a leader in CFD technology, and Pointwise, Inc, a leading provider of CFD meshing technology. The addition of these technologies and talent broadens our System Design and Analysis portfolio and expertise. Chief Executive Officer Transition: On December 15, 2021, Anirudh Devgan assumed the role of President and Chief Executive Officer of Cadence, replacing Lip-Bu Tan. Prior to his role as Chief Executive Officer, Dr. Devgan served as President of Cadence. Concurrently, Mr. Tan transitioned to the role of Executive Chair.'



```
is_acquisitions? NO  
is_work_experience? NO
```

Splitting Legal texts

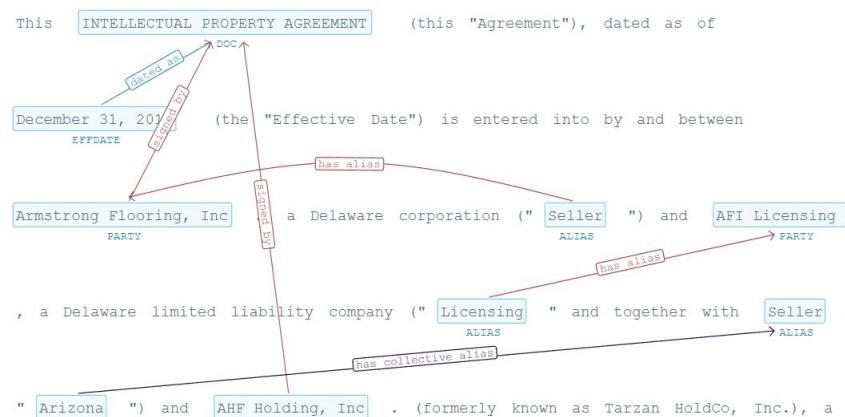
Sentence *Splitting* is very important for all the NLP use cases we are going to comment later on:

- For **NER**, in most cases, the information is contained in the **same sentence**, although in case of enumerations you may want to consider paragraph NER.

WHEREAS, the Corporation wishes to provide:
a) **investment advise;**
b) **management services;**
c) **administrative services**

...

- For **Assertion**, as with Text Classification, you may want to send the model more than just a sentence.
- For **Relation Extraction**, quite common entities are in different sentences, so you may want to split by paragraph



Splitting Legal texts

Sentence *Splitting* is very important for all the NLP use cases we are going to comment later on:

- For **NER**, in most cases, the information is contained in the **same sentence**, although in case of enumerations you may want to consider paragraph NER.

WHEREAS, the Corporation wishes to provide:

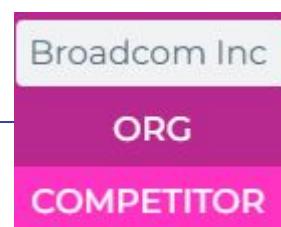
- a) **investment advise;**
- b) **management services;**
- c) **administrative services**

...

- For **Assertion**, as with Text Classification, you may want to send the model more than just a sentence.

Our **competitors** include legacy antivirus product providers. The most relevant ones are:

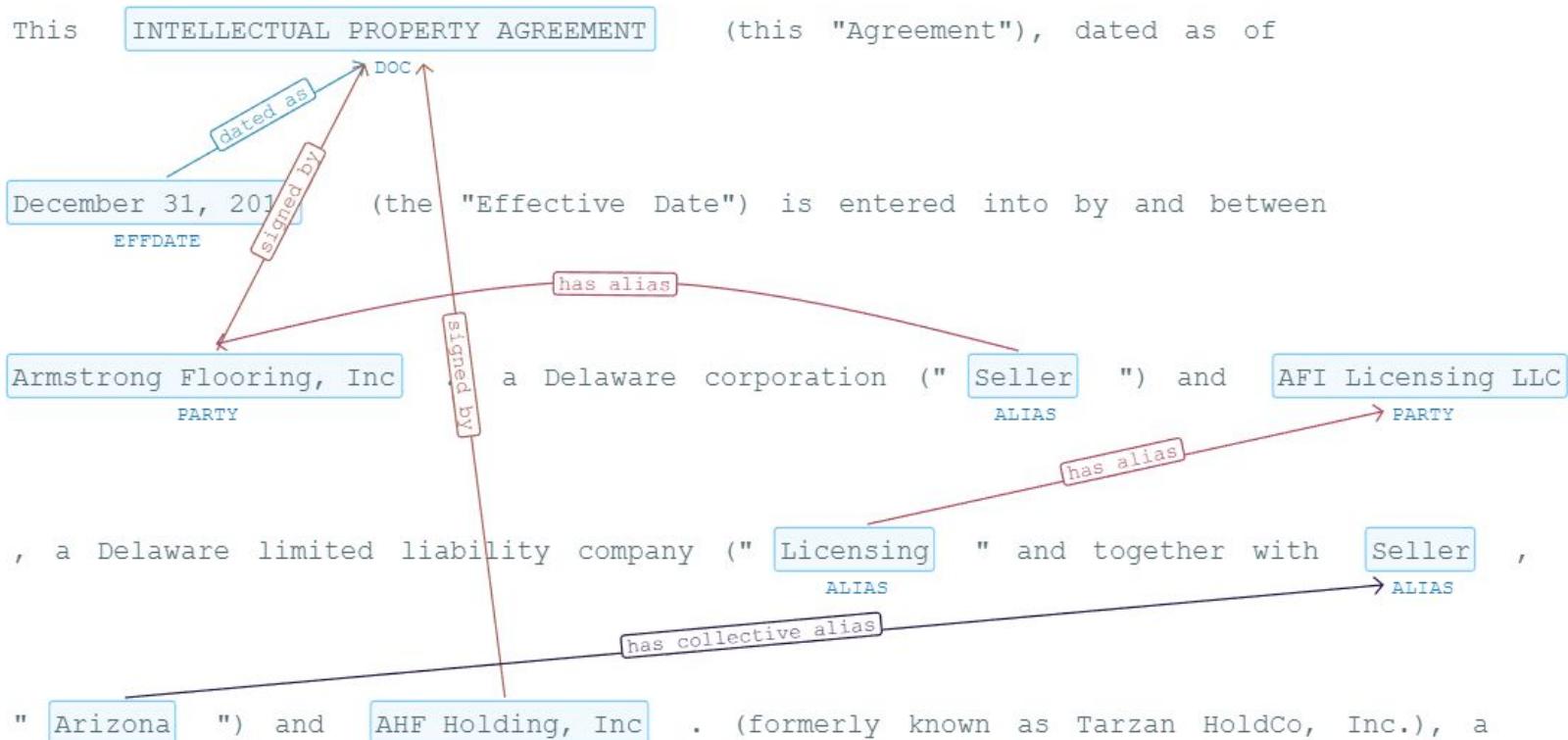
and



Splitting Legal texts

Sentence *Splitting* is very important for all the NLP use cases we are going to comment later on:

- For **Relation Extraction**, is quite common entities are in different sentences, so you may want to split by paragraph



Annotators

- **DocumentAssembler**: Assembles a Document Type from a text.
- **SentenceDetector**: Split Documents into sentences, pages, paragraphs, etc. using rules (regular expressions, characters, etc)
- **SentenceDetectorDL**: Deep Learning model (no rules, it's pretrained) to carry out sentence splitting exclusively.
- **Tokenizer**: Divides sentences into tokens (smaller pieces similar to words).
- **ChunkSentenceSplitter**: Uses detected entities in the document as boundaries to split documents (like headers and subheaders).



STATE OF THE ART

Language Models Legal NLP

Welcome - We have a lot of things ahead of us

50 min

Introduction. Text Splitting. Tokenization. Embeddings. Binary, Multiclass, Multilabel Classification

01.Page_Splitting.ipynb
02.Sentence_Splitting_Tokenization.ipynb
03.Word_Sentence_EMBEDDINGS.ipynb
04.0.Clause_Document_Classification.ipynb
04.1.Training_Legal_Binary_Classifier.ipynb

10 min

break

60 min

Named Entity Recognition. Relation Extraction. Training. Zero-shot NER and RE.

05.0.NER_and_ZeroShotNER.ipynb
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05.2.Clause_based_NER.ipynb
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06.0.Relation_Extraction.ipynb
06.1.Relation_Extraction_and_ZeroShotRE.ipynb

10 min

break

50 min

Understand Entities in Context with Assertion Status.
Question&Answering Models. Data Normalization, Mapping, Augmentation

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90.1.Layout_Classification_with_VisualNLP.ipynb

Language Models and Embeddings

Language Models are Deep Learning objects you will use to process your texts. They are based on **Fill-mask** and **next-token prediction**, which means they learn the texts they see in training time and are able to predict a word if you mask it.

What we use from Language Models is not the fill-mask or next-token prediction, but the **numerical representation of the words** (or sentences), also called as **Embeddings**.

These numerical representations of words store information of their meaning in context.

The screenshot shows a dictionary entry for the word "bank".

bank²
/bæŋk/
noun
noun: bank; plural noun: banks

1. a financial establishment that uses money deposited by customers for investment, pays it out when required, makes loans at interest, and exchanges currency.
"a bank account"

Similar: financial institution, commercial bank, savings bank, finance company, ▾

• the store of money or tokens held by the banker in some gambling or board games.
noun: the bank

• the person holding the bank in some gambling or board games; the banker.

• INFORMAL • US
a large amount of money.
"those entrepreneurs are raking in some serious bank"

2. a stock of something available for use when required.
"a blood bank"

Similar: store, reserve, accumulation, stock, stockpile, inventory, supply, ▾

• a site or receptacle where something may be deposited for recycling.
"a paper bank"

3. a set of similar things, especially electrical or electronic devices, grouped together in rows.
"the DJ had big banks of lights and speakers on either side of his console"

Similar: array, row, line, tier, group, series, panel, console, ▾

• a tier of oars.
"the early ships had only twenty-five oars in each bank"

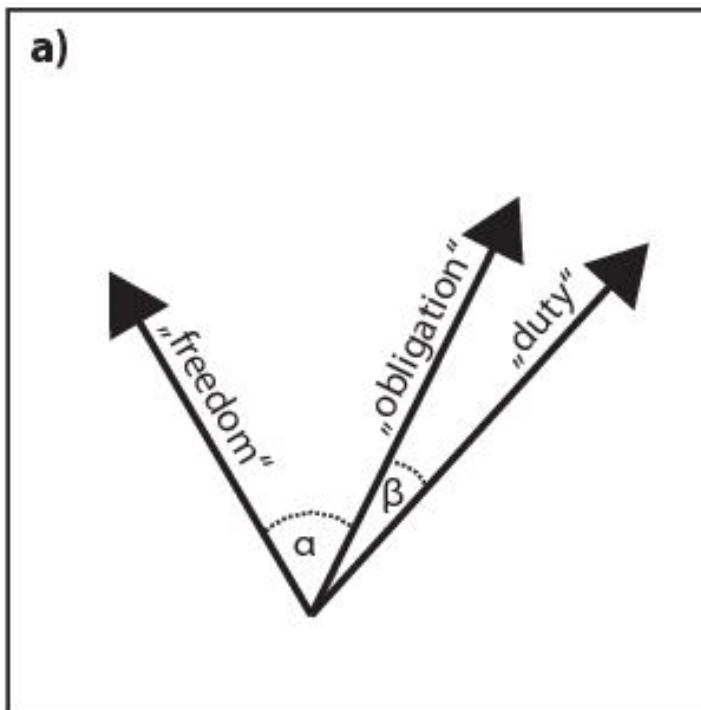
4. the cushion of a pool table.
"a bank shot"

All of these will have different embeddings (numerical representations) in context!

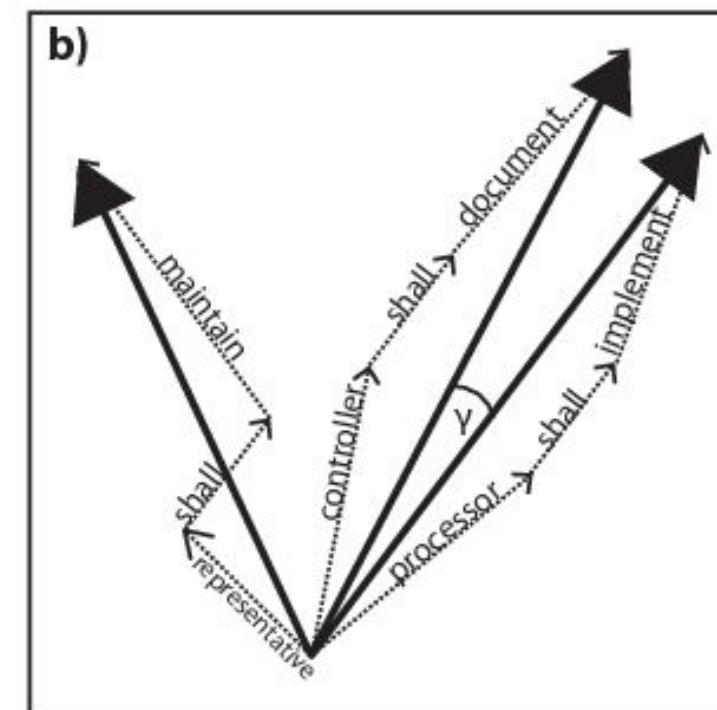
Language Models and Embeddings

We have two type of embeddings:

- **Word Embeddings**, for word-based NLP tasks, as:
 - Name Entity Recognition
 - Assertion Status
 - Relation Extraction, etc.
- **Sentence Embeddings**, for sentence/paragraph/document NLP tasks, as:
 - Text Classification
 - Entity Resolution



Legal Word Embeddings



Legal Sentence Embeddings

Language Models and Embeddings

Domain specificity

- As a consequence of their context-specificity, it's very important you use domain specific embeddings. Fortunately, we have **more than 30** Legal NLP Language Models in Models Hub, including English, Portuguese and Spanish.

Word vs Sentence

- If you don't find a proper Sentence Embeddings for you and you have a suitable Word Embeddings model, we provide with an **annotator called SentenceEmbeddings**, which will do the transformation for you.

Cased vs Uncased

- Please pay attention to the casing of the models. Some of them will require to lowercase the text first.

The screenshot shows the Hugging Face Model Hub interface. At the top, there are search filters: 'Show' dropdown set to 'Embeddings', 'models & pipelines in' dropdown set to 'All Languages', and 'for' dropdown set to 'All versions'. Below the filters, the text '81 Models & Pipelines Results:' is displayed. A checkbox 'Supported models only' is checked. On the left, there is a sidebar with filters for 'All' (selected), 'Models', 'Pipelines', 'Assigned tags', 'Entities', 'Sort By' (Date selected), and a checked 'Show recommended first' checkbox. The main area displays three cards for supported models:

- Legal BERT Base Uncased Embedding**: SUPPORTED. Description: "...LEGAL-BERT is a family of BERT models for the **legal** domain, intended to assist **legal** NLP research, computational law, and **legal**...". Date: 09.2021, task: Embeddings, Language: English, Edition: Spark NLP 3.2.2.
- Legal BERT Sentence Base Uncased Embedding**: SUPPORTED. Description: "...LEGAL-BERT is a family of BERT models for the **legal** domain, intended to assist **legal** NLP research, computational law, and **legal**...". Date: 09.2021, task: Embeddings, Language: English, Edition: Spark NLP 3.2.2.
- Spanish Legal RoBERTa Embeddings**: SUPPORTED. Description: "RoBERTa **Legal** Embeddings, trained by PlanTL-GOB-ES. <https://huggingface.co/BSC-TeMU/RoBERTalex> <https://github.com/PlanTL-GOB-ES/Im-legal-es...>". Date: 04.2022, task: Embeddings, Language: Spanish, Edition: Spark NLP 3.4.2.

AN NLP TIMELINE AND THE TRANSFORMER FAMILY

BAG OF WORDS (BOW)

Count the occurrences of each word in the documents and use them as features.

1954

TF-IDF

The BOW scores are modified so that rare words have high scores and common words have low scores.

1972

WORD2VEC

Each word is mapped to a high-dimensional vector called word embedding, which captures its semantic. Word embeddings are learned by a neural network looking for word correlations on a large corpus.

2013

RNN

RNNs compute document embeddings leveraging word context in sentences, which was not possible with word embeddings alone.

LSTM

Capture long term dependencies.

1997

Bidirectional RNN

Capture left-to-right and right-to-left dependencies.

1997

Encoder-decoder RNN

An RNN creates a document embedding (i.e. the encoder) and another RNN decodes it into text (i.e. the decoder).

2014

TRANSFORMER

An encoder-decoder model that leverages attention mechanism to compute better embeddings and to better align output to input.

2017

BERT

Bidirectional Transformer pretrained using a combination of Masked Language Modeling and Next Sentence Prediction objectives. It uses global attention.

2018

GPT

The first autoregressive model based on the Transformer architecture.

2019

GPT-2

A bigger and optimized version of GPT, pre-trained on WebText.

2019

GPT-3

A bigger and optimized version of GPT-2, pre-trained on Common Crawl.

2020

CTRL

Similar to GPT but with control codes for conditional text generation.

2019

TRANSFORMER-XL

It's an autoregressive Transformer which can reuse previously computed hidden-states to attend to longer context.

2019

ALBERT

A lighter version of BERT, where (1) Next Sentence Prediction is replaced by Sentence Order Prediction, and (2) parameter-reduction techniques are used for lower memory consumption and faster training.

2019

ROBERTA

Better version of BERT, where (1) the Masked Language Modeling objective is dynamic, (2) the Next Sentence Prediction objective is dropped, (3) the BPE tokenizer is employed, and (4) better hyperparameters are used.

2019

XLM

Transformer pre-trained on a corpus of several languages using objectives like Causal Language Modeling, Masked Language Modeling, and Translation Language Modeling.

2019

XLNET

Transformer-XL, with a generalized autoregressive pre-training method that enables learning bidirectional dependencies.

2019

PEGASUS

A bidirectional encoder and a left-to-right decoder pre-trained with Masked Language Modeling and Gap Sentence Generation objectives.

2019

DISTILBERT

Same as BERT but smaller and faster, while preserving over 95% of BERT's performances. Trained by distillation of the pre-trained BERT model.

2019

XLM-ROBERTA

RoBERTa trained on a multilingual corpus with the Masked Language Modeling objective.

2019

BART

A bidirectional encoder and a left-to-right decoder trained by corrupting text with an arbitrary masking function and learning a model to reconstruct the original text.

2019

CONVBERT

Better version of BERT, where self-attention blocks are replaced with new ones that leverage convolutions to better model global and local context.

2019

FUNNEL TRANSFORMER

A type of Transformer that gradually compresses the sequence of hidden states to a shorter one and hence reduces the computation cost.

2020

REFORMER

A more efficient Transformer thanks to local-sensitive hashing attention, axial position encoding and other optimizations.

2020

T5

A bidirectional encoder and a left-to-right decoder pre-trained on a mix of unsupervised and supervised tasks.

2020

LONGFORMER

A Transformer model replacing the attention matrices with sparse matrices for higher training efficiency.

2020

PROPHETNET

A Transformer model trained with the Future N-gram Prediction objective and with a novel self-attention mechanism.

2020

ELECTRA

Same as BERT but lighter and better. The model is trained with the Replaced Token Detection objective.

2020

SWITCH TRANSFORMER

A sparsely-activated expert Transformer model that aims to simplify and improve over Mixture of Experts.

2021



NLPLANET

The community of
NLP enthusiasts!



<https://www.linkedin.com/company/nlplanet/>

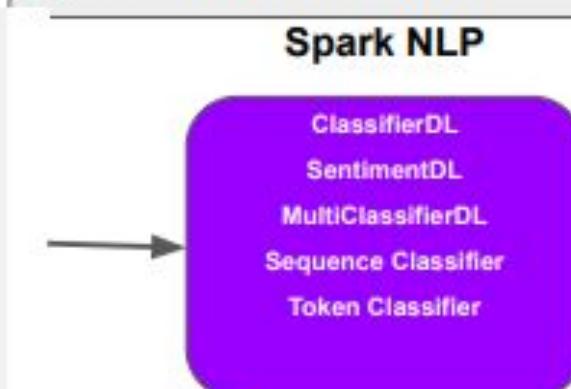
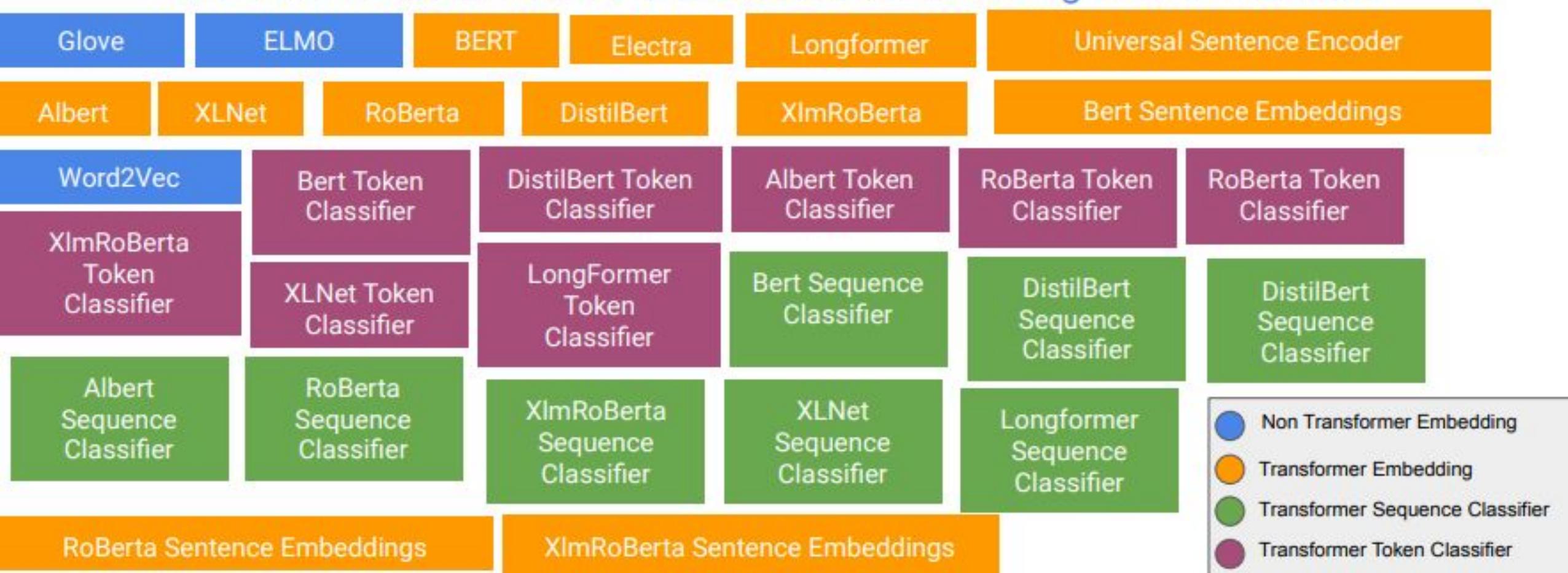


<https://medium.com/nlplanet>



https://twitter.com/nlplanet_

Text Classification with Word & Sentence Embeddings & Transformers



Annotators

- **BertEmbeddings**: Gets BERT embeddings for each token using a pretrained Language Model.
- **RoBertaEmbeddings**: Gets RoBerta embeddings for each token using a pretrained Language Model.
- ...
- **UniversalSentenceEncoder**: Gets USE embeddings for a whole sentence / text.
- **BertSentenceEmbeddings**: Gets USE embeddings for a whole sentence / text.
- **SentenceEmbeddings**: Averages / Pools any Word Embedding model to get Sentence Embeddings



STATE OF THE ART

Classification Legal NLP

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50 min

Introduction. Text Splitting. Tokenization. Embeddings. Binary, Multiclass, Multilabel Classification

01.Page_Splitting.ipynb
02.Sentence_Splitting_Tokenization.ipynb
03.Word_Sentence_EMBEDDINGS.ipynb
04.0.Clause_Document_Classification.ipynb
04.1.Training_Legal_Binary_Classifier.ipynb

10 min

break

60 min

Named Entity Recognition. Relation Extraction. Training. Zero-shot NER and RE.

05.0.NER_and_ZeroShotNER.ipynb
05.1.Training_Financial_NER.ipynb
05.2.Clause_based_NER.ipynb
05.6.Contextual_Parser_Rule_Based_NER.ipynb
06.0.Relation_Extraction.ipynb
06.1.Relation_Extraction_and_ZeroShotRE.ipynb

10 min

break

50 min

Understand Entities in Context with Assertion Status.
Question&Answering Models. Data Normalization, Mapping, Augmentation

07.0.Understand_Entities_in_Context.ipynb
08.0.Answering_Questions_Legal_Texts.ipynb
09.0.Normalization_with_Entity_Resolution_Edgar.ipynb
10.0.Data_Augmentation_with_ChunkMappers.ipynb

10 min

break

50 min

Deidentification. Financial Graph on a real use case. Integration with Visual NLP.

11.Deidentification.ipynb
80.0.WIP_Use_Case_Legal_Agreements.ipynb
90.0.Legal_Visual_Document_Understanding.ipynb
90.1.Layout_Classification_with_VisualNLP.ipynb

This agreement, or any term thereof, may be changed or waived only by written amendment, signed by the party against whom enforcement of such change or waiver is sought.

This sentence has been classified as : **Amendments**

Classification Confidence: **99.92%**

Classify clauses and whole documents

We anticipate the value of our company to continue to rise for over the next few years, increasing dividends for shareholders.

This sentence has been classified as : **Compensation**

Classification Confidence: **99.75%**

No loans shall be contracted on behalf of the company and no evidences of indebtedness shall be issued in its name unless authorized by a resolution of the board of managers

This sentence has been classified as : **Loans**

Classification Confidence: **100.0%**

Each party warrants and represents that it has full capacity and authority, all necessary licenses, permits and consents to enter into and perform its obligations under the agreement.

This sentence has been classified as : **Guarantee**

Classification Confidence: **99.76%**

The powers of the company shall be exercised by or under the authority of, and the business and affairs of the company shall be managed under the direction of, the member.

This sentence has been classified as : **Management**

Classification Confidence: **99.97%**

Legal NLP Classification

Text Classification is the NLP Task in charge of retrieving a **class/category** per input text.

- **Classification** require domain **Sentence Embeddings**. Remember, if you don't find proper sentence embeddings, you can use SentenceEmbeddings annotator to transform your word embeddings into SentenceEmbeddings.

We count on more than 400 Text Classifiers, which can be divided using 2 categorization systems:

- By **Input** type or type of **text splitting needed**

Sentences	Clauses / Paragraphs / Sections	Whole Documents
To do classification at sentence level. For example, detecting sentiment on a sentence, if a sentence talks about a specific topic , etc.	This is the most common type of classifiers in Legal NLP. They can be used to identify if a piece of texts bigger than a sentence (a paragraph) is of a specific class. Very useful to detect Legal clauses	To carry out Document Classification. Bear in mind current NLP Models are not able to process big texts. The biggest amount of text we can process is using Legal Longformers with 4096 tokens , or using Bert-based models with 512 . The rest of the text will be discarded. However, the good news is that in most cases, the information to classify a document is in the first page of it.

Legal NLP Classification

- By **output type or class assigned to the input text**

Binary Classifiers

Return *true* or *false* values. For example, our more than 300 Clause Binary classifiers, which return the **name of the clause** if it is classified as such, or **other** otherwise.

This agreement, or any term thereof, may be changed or waived only by written amendment, signed by the party against whom enforcement of such change or waiver is sought.

We anticipate the value of our company to continue to rise for over the next few years, increasing dividends for shareholders.

legclf_amendments

amendments

other

Multiclass classifiers

Returns 1 value from all the categories the model was trained on. Only works for models with a small number of categories (up to 100).

It's not suitable for:

- Big number of classes (more than 100)
- Non-disjoint classes (a text can be of several classes at the same time)

The Commission considered that a special feature in the present case was the fact that the applicant had chosen to express himself through poetry. However, even taking into account the prerogatives of a poet, it found that parts of the applicant's poems glorified armed rebellion against the Turkish State and martyrdom in that fight.

This text has been classified as : **COMMISSION/CHAMBER**
or **APPLICANT** or ...

Multilabel classifiers

Returns n value from all the categories the model was trained on. Only works for models with a small number of categories (up to 100).

It's not suitable for:

- Big number of classes (more than 100)

(a) No failure or delay by the Administrative Agent or any Lender in exercising any right or power hereunder shall operate as a waiver thereof, nor shall any single or partial exercise of any such right or power, or any abandonment or discontinuance of steps to enforce such a right or power, preclude any other or further exercise thereof or the exercise of any other right or power

This text has been classified as: **waivers, amendments**

Legal NLP Classification



We have **thousands of different legal clauses** in documents, and often times, , they **are not disjoint**: a paragraph could have information about **some different legal clauses at the same time**.

Contribution

66k

Indemnification

424k

Indemnification and Contribution

40k

Indemnification and Contribution. (a) The Company agrees to indemnify and hold harmless each Underwriter, the directors, officers, employees and agents of each Underwriter and each person who controls any Underwriter within the meaning of either the Act or the Exchange Act against any and all losses, claims, damages or liabilities, joint or several, to which they or any of them may become subject under the Act, the Exchange Act or other Federal or state statutory law or regulation, at common law or otherwise, insofar as such losses, claims, damages or liabilities (or actions in respect thereof) arise out of or are based upon any untrue statement or alleged untrue statement of a material fact contained in the registration statement for the registration of the Securities as originally filed or in any amendment thereof, or in the Basic Prospectus, any Preliminary Final Prospectus or the Final Prospectus, or in any amendment thereto or supplement thereto, or arise out of or are based upon the omission or alleged omission to state therein a material fact required to be stated therein or necessary to make the statements therein not misleading, and agrees to reimburse each such indemnified party, as incurred, for any legal or other expenses reasonably incurred by them in connection with investigating or defending any such loss, claim, damage, liability or action; provided, however, that the Company will not be liable in any such case to the extent that any such loss, claim, damage or liability arises out of or is based upon any such untrue statement or alleged untrue statement or omission or alleged omission made therein in reliance upon and in conformity with written information furnished to the Company by or on behalf of any Underwriter through the Representatives specifically for inclusion therein. This indemnity agreement will be in addition to any liability which the Company may otherwise have.

indemnification - TRUE

contribution - TRUE

amendment - FALSE

...

xxx - FALSE

Legal NLP Classification

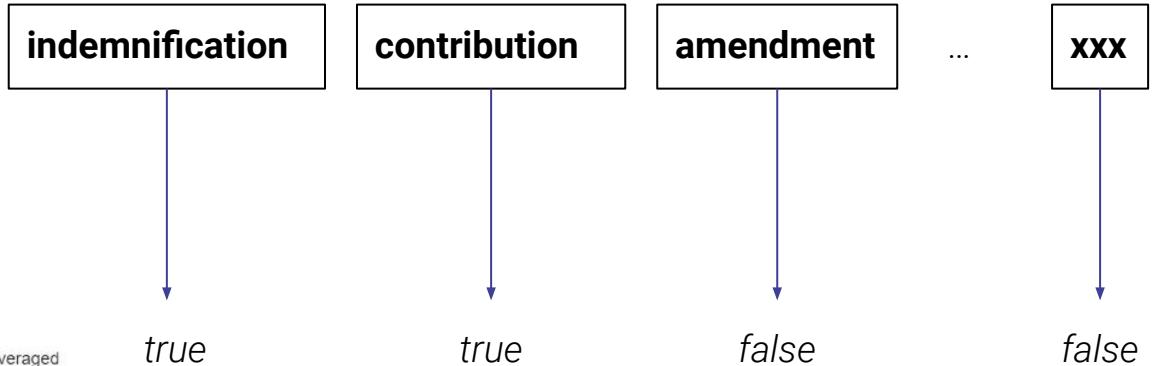
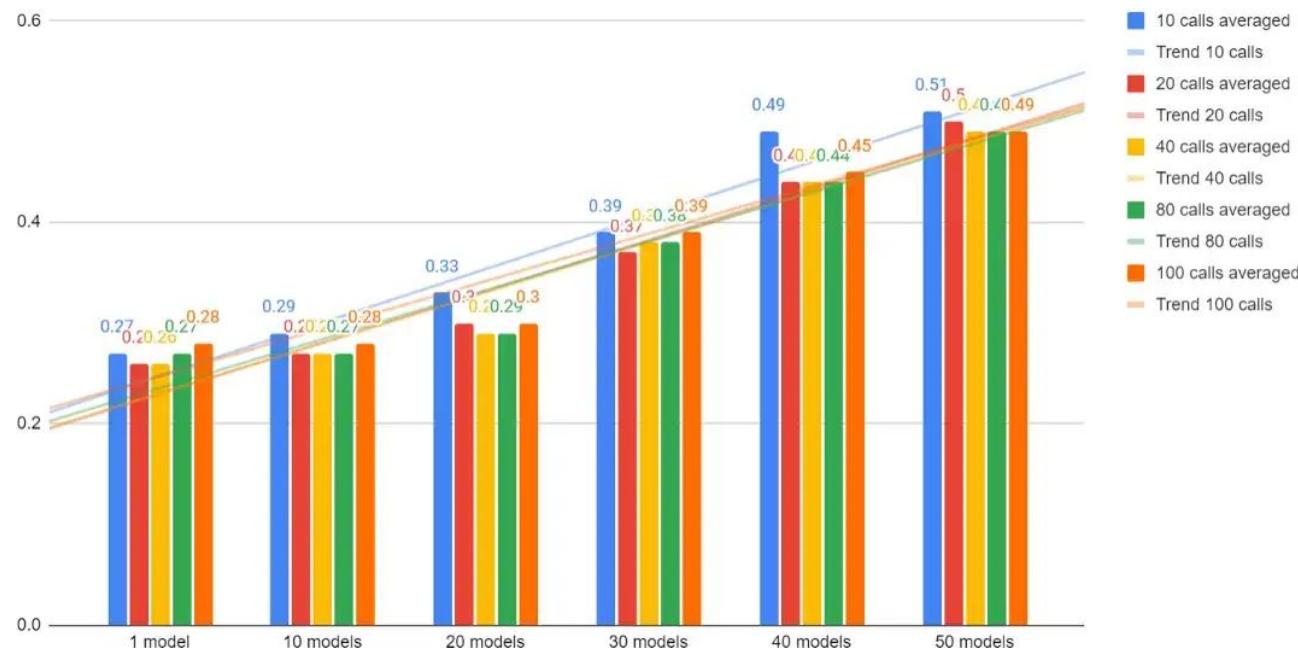


We have **thousands of different legal clauses** in documents, and often times, , they **are not disjoint**: a paragraph could have information about **some different legal clauses at the same time**.



paragraph splitting

Indemnification and Contribution. (a) The Company agrees to indemnify and hold harmless each Underwriter, the directors, officers, employees and agents of each Underwriter and each person who controls any Underwriter within the meaning of either the Act or the Exchange Act against any and all losses, claims, damages or liabilities, joint or several, to which they or any of them may become subject under the Act, the Exchange Act or other Federal or state statutory law or regulation, at common law or otherwise, insofar as such losses, claims, damages or liabilities (or actions in respect thereof) arise out of or are based upon any untrue statement or alleged untrue statement as to a material fact contained in any prospectus or any amendment thereto, or in any preliminary prospectus, any Preliminary Final Prospectus or the Final Prospectus, or in any amendment thereto or supplement thereto, or arise out of or are based upon the omission or alleged omission to state therein a material fact required to be stated therein or necessary to make the statements therein not misleading, and agrees to reimburse each such indemnified party, as incurred, for any legal or other expenses reasonably incurred by them in connection with investigating or defending any such loss, claim, damage or liability arises out of or is based upon any such untrue statement or alleged untrue statement or omission or alleged omission made therein in reliance upon and in conformity with written information furnished to the Company by or on behalf of any Underwriter through the Representatives specifically for inclusion therein. This indemnity agreement will be in addition to any liability which the Company may otherwise have.



Performance-wise, these models are super light. You can include hundreds of them and have them predicting on a paragraph in less than 0.5 seconds. Check <https://medium.com/p/a2f9b899de92>

Classifying Images

Sometimes you may have the image or a scanned pdf document and not the text. There are several ways you can go with the Spark NLP Suite.

If there is no layout or it is not relevant:

- 1) Use **Visual NLP to extract the text** and Use **Legal NLP Text Classifiers**.

If the layout information is important:

- 2) Use **Legal NLP Visual Transformers (ViT)** to train at **image** level.
- 3) Use **Visual NLP to use the text and the layout** of a document to train a classifier. No Legal NLP required.



Here there is no layout, so just extracting text and using a **Text Classifier** may be enough

As I have been following your company and work for many years, I am pleased to discover that you are looking for an experienced Financial Services Associate to join your team. Not only I believe that the combination of my career history, field experience, and developed skills set makes me an ideal candidate for the role but I am also certain that it would be a great opportunity for me to grow my career.

My name is Rolien Gasner and I am the American University graduate with a bachelor's degree in Economics & Finance. I graduated in 2018 with a 3.9 GPA and was a member of the Alpha Gamma Delta (AGD) honor society and I also won the Dean's Award once for representing the school at multiple international economics competitions. My studies have allowed me to become an effective leader and helped me to acquire excellent analytical and communication skills.

Next, I worked as a Financial Services Associate at Viteo Financial, Ltd. for more than 2 years. There, I spent most of my time providing professional financial advice and recommendations to clients, identifying their needs and goals, and conducting financial portfolio analysis. On top of that, I completed yearly credit review and risk analysis for specific clients. I have been working in the financial industry for over 5 years now. Many times that I am a pro-active and reliable person with the crucial ability to function well in deadline-driven and fast-paced environment. I have been working as a top service employee by the company executives for meeting all assigned tasks. Offering the experience and all skills required for the position necessary for the job, am a native Dutch speaker with a proficiency in English and a basic knowledge of French and German. Thank you for your time and consideration and I look forward to speaking with you in the near future.

Sincerely,
Rolien Gasner

PERSONAL FINANCIAL STATEMENT			
Section 1(a) - Personal Information			
Name: Joe T. Example	Birthdate: 05/05/55	SSN: 123-45-6789	Date: 06/25/04
Address: Any Street	City: Any City	State: TX	Zip: 11111
Employer: Any Employer	Position: Any position	# of Years: 10	
Employer's Address: Any Employer's address	City: Any Employer's city	State: TX	Zip: 45678
Business Phone: 333-444-5555	Residence Phone: 222-333-4444	Drivers License #: 123456789	
Section 1(b) - Other Party Information			
Name: Jane T. Example	Birthdate: 06/06/56	SSN: 333-44-6666	Date: 06/06/56
Address: Any Street	City: Any City	State: TX	Zip: 11111
Employer: Any Employer # 2	Position: Any position	# of Years: 10	
Employer's Address: Any Employer's address	City: Any Employer # 2 Address	State: TX	Zip: 32145
Business Phone: 111-222-3333	Residence Phone: 222-333-4444	Drivers License #: 9874565	
Section 2 - Statement of Financial Condition			
Assets	In Dollars	Liabilities	In Dollars
Cash: (Refer to Schedule A)	\$15,000.00	Notes Payable: (Refer to Schedule D)	\$45,000.00
Securities: (Refer to Schedule B)	\$1,500.00	Mortgages Payable: (Refer to Schedule C)	\$50,000.00
Real Estate: (Refer to Schedule C)	\$150,000.00	All Other Liabilities:	\$3,500.00
Automobiles:	\$38,000.00		
Restricted or Margin Accounts:	\$0.00		
Cash Value Life Insurance:	\$0.00		
Accounts and Notes Receivable:	\$0.00		
Household & Personal Assets:	\$0.00	Total Liabilities:	\$98,500.00
All Other Assets:	\$0.00	Net Worth: (Total Assets - Total Liabilities)	\$105,000.00
Total Assets:	\$204,500.00	Total Liabilities & Net Worth:	\$204,500.00
Section 3 - Annual Income			
Federal Income Tax Information for the Year Ended 2003			
Salaries & Wages (Individual):	\$75,000.00	Instalment Payments (auto, credit cards)	\$10,200.00
Salaries & Wages (Spouse):	\$75,000.00	Lease Obligations:	\$0.00
Bonuses & Commissions:	\$0.00	Mortgage/Rental Payments:	\$0.00
Dividends & Interest Income:	\$0.00	Other Debt Service:	\$0.00
Net Real Estate Income:	\$0.00	Alimony, Child Support, etc:	\$0.00
Oil & Gas Income/Royalties:	\$0.00	Auto, Life & Health Insurance Premiums:	\$0.00
All Other Income:	\$0.00	All Other Expenditures:	\$0.00

But here the layout is super important, it's better to keep that information.

You can use:

- Finance NL Visual Transformers (ViT) to classify at **image** level
- Visual NLP to classify at **text+layout**

Annotators

Embeddings-based:

- **ClassifierDL**: A Deep Learning architecture (multilayer perceptron) using Sentence Embeddings as input. Produces binary, multiclass or multilabel models.
- **BertForSequenceClassification**: Same as ClassifierDL but using the BERT transformer.

Features-based:

- **GenericClassifier**: A multilayer perceptron but with a vector of features instead of sentence embeddings, as an input.
- **DocumentLogRegClassifier**: Similar to GenericClassifier but for Logistic Regression.

Images-based:

- **ViTForImageClassification**: Image (pixel only!) classification

[VISUAL NLP]

- **VisualDocumentClassifier**: Text + layout classification



STATE OF THE ART

Named Entity Recognition
Legal NLP

Welcome - We have a lot of things ahead of us

50 min

Introduction. Text Splitting. Tokenization. Embeddings. Binary, Multiclass, Multilabel Classification

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Recognize Legal Entities in Documents

Choose Sample Text

Exhibit 2.7 FORM OF TRADEMARK LICENSE AGREEMENT...

Text annotated with identified Named Entities

Exhibit 2.7 FORM OF TRADEMARK LICENSE AGREEMENT THIS TRADEMARK LICENSE AGREEMENT (this "Agreement"), made and entered into as of the July 1, 2020 (the "Effective Date"), by and between ARCONIC INC., a corporation organized under the laws of Delaware ("Licensee") and ARCONIC ROLLED PRODUCTS CORP., a corporation organized under the laws of Delaware ("Licensor")
and between ARCONIC INC. ("Party") and ARCONIC ROLLED PRODUCTS CORP. ("Party")
("Alias")

Choose Sample Text

WHEREAS, the Company desires...

Text annotated with identified Named Entities

WHEREAS, the Company desires to retain Nantz Communications and Nantz to provide certain promotional services and other services and Nantz
is willing to provide such services on the terms and conditions set forth herein;
WHEREAS SUBJECT WHEREAS ACTION WHEREAS OBJECT WHEREAS SUBJECT WHEREAS ACTION WHEREAS OBJECT

Extract main actions in an agreement

Choose Sample Text

PPD may engage VS to perform imaging services

Text annotated with identified Named Entities

PPD may engage VS to perform imaging services
OBLIGATION SUBJECT OBLIGATION ACTION OBLIGATION INDIRECT OBJECT OBLIGATION

Extract who, what, to whom?

Legal NLP Named Entity Recognition



NER is the NLP task in charge of detecting relevant words / chunks in texts and categorize them.

- **NER** requires **Word embeddings**.
- As with Classification, **NER** also requires **splitting**. Usually, the split is done at the **sentence** level, but there may be cases where you would like to provide to the NER model more context than a sentence:

Sentences	Paragraphs
<p>To do NER at sentence level, after you split a text into sentences with SentenceDetector.</p> <p>Used in most of the cases, since the context of a relevant entity is found in the surroundings of its sentence.</p>	<p>To do NER at sentence level, after you split a text into paragraphs with SentenceDetector, not into sentences.</p> <p>We may need to do this in some exceptional cases:</p> <p><i>WHEREAS, the Corporation wishes to provide:</i></p> <p>a) <i>investment advise</i>;</p> <p>b) <i>management services</i>;</p> <p>c) <i>administrative services</i></p> <p>...</p>

Legal NLP Named Entity Recognition



We provide with **Legal NER** at **clause** and **document level**.

Clause Level

NER entities can be only found in some specific parts of the document. For example, **whereas**, **indemnification**, **termination**, **the introduction of the parties in an agreement**, etc.

WHEREAS, the Company
WHEREAS SUBJECT
desires to retain
WHEREAS ACTION
Nantz Communications
WHEREAS OBJECT
and Nantz to provide certain promotional
WHEREAS OBJECT

is willing to provide
WHEREAS ACTION
such services
WHEREAS OBJECT
on the terms and conditions set forth herein;

There is **no point** in applying these clause NER models to the whole document, since:

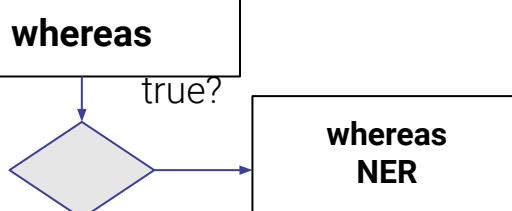
- It will affect drastically the performance
- It will retrieve more false positives / negatives

In order to carry out NER of specific clauses, please use first Text Classification, as described before, and if the specific class you have detected is relevant for your, apply its specific NER.



paragraph splitting

Indemnification and Contribution. (a) The Company agrees to indemnify and hold harmless each Underwriter, the directors, officers, employees and agents of each Underwriter and each person who controls any Underwriter within the meaning of either the Act or the Exchange Act against any and all losses, claims, damages or liabilities, joint or several, to which they or any of them may become subject under the Act, the Exchange Act or other Federal or state statutory law or regulation, at common law or otherwise, insofar as such losses, claims, damages or liabilities result from any untrue statement of a material fact contained in the registration statement or any amendment thereto or in the Base Prospectus, any Preliminary Final Prospectus or the Final Prospectus, or any statement or amendment filed in or supplement thereto, or in any document or communication relating thereto, or in any statement therein, a material fact required to be stated therein or necessary to make the statements therein not misleading, and agrees to reimburse each such indemnified party, as incurred, for any legal expenses reasonably incurred by such party in connection with investigating or defending any such claim, loss, damage, liability or actions provided, however, that the Company will not be liable in any such case to the extent that any such loss, claim, damage, liability or actions arises out of or is based upon any statement or representation in or omission from any documents, contracts, agreements or instruments made therein or relied upon and in conformity with written information furnished to the Company by or on behalf of any Underwriter through the Representatives specifically for inclusion therein. This indemnity agreement will be in addition to any liability which the Company may otherwise have.



Document Level

NER entities can be only found **all over** the document.

You can apply NER to the whole document.

For example, **PARTY**, **ALIAS** (how the company is mentioned through the document), **OBLIGATIONS** (sentences describing what a **PARTY** has agreed to do), **LAW**, **PERSON**, **DATE**, **COUNTRY**, etc.

Kiromic, Inc., a Delaware corporation (the "Company")
ORG ALIAS

Legal NLP Zero-shot NER



	Entity	Question
0	DATE	['When was the company acquisition?', 'When was the comp.
1	ORG	['Which company?', 'Which was the company acquisition?']
2	STATE	['Which state?']
3	AGREEMENT	['What kind of agreement?']
4	LICENSE	['What kind of license?']
5	LICENSE_REC	['To whom the license is granted?']
6	ALIAS	['Which is the alias?']

In February 2017, the Company entered into an asset purchase agreement with NetSeer, Inc..

The Company hereby grants to Seller a perpetual, non- exclusive, royalty-free license

On March 12, 2020 we closed a Loan and Security Agreement with Hitachi Capital America Corp. (also known as "Hitachi").

Usually, NLP models follow a **fit-transform** approach, where:

- 1) You **first** train a model, using what we call an Approach (*NerApproach* for NER), using training data.
- 2) And then, you **transform** (predict) on final data (*NerModel* for NER)

However, with the recent improvements in *Natural Language Inference*, we can use **Question Answering** models as well. The idea is quite simple:

- 1) You have a context document;
- 2) You have some *prompts* in form of *questions or examples*.

Using our **ZeroShotNER** annotator, those *questions (prompts)* can be asked to our NLI-based language model, and *retrieve the answers* in form of *predictions*, without a training step. And most importantly, **without any training data required**.

Annotators

You can train in SparkNLP

- NerModel (Char CNNs - BiLSTM - CRF)
- ContextualParser (rule based)

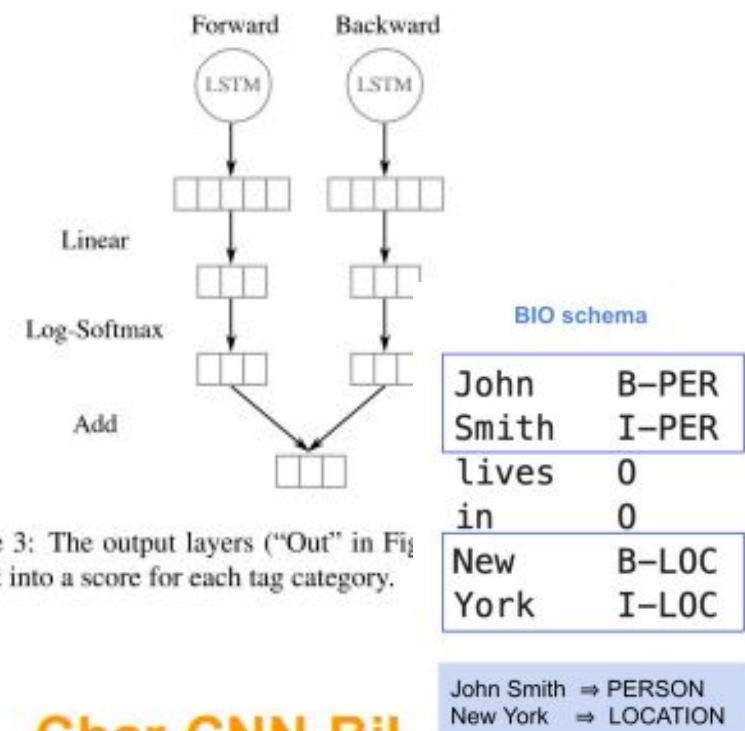
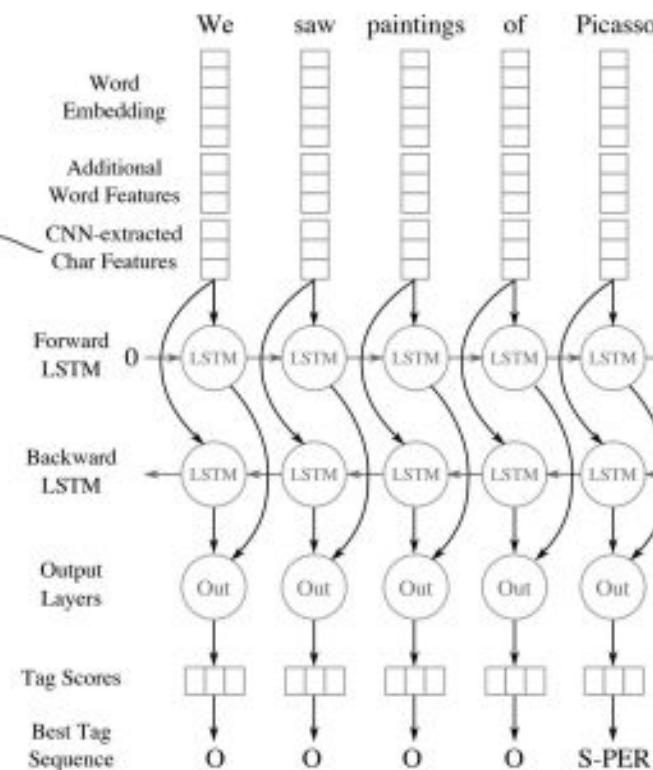
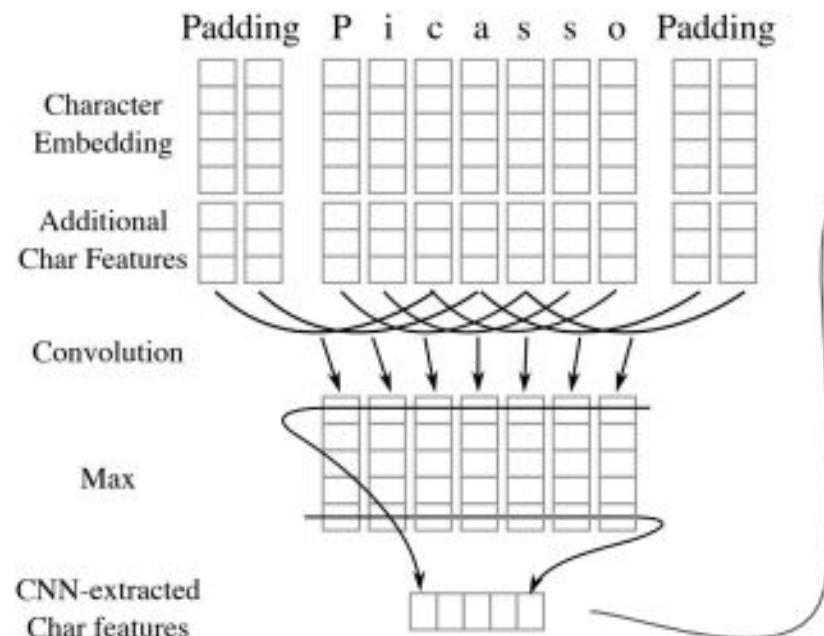
Actively used, we provide with templates to train in Hugging Face and import into Spark NLP

- BertForTokenClassification (transformer based)

Other available transformer-based

- RoBertaForTokenClassification
- CamemBertForTokenClassification
- DistilBertForTokenClassification
- LongformerForTokenClassification
- XlmRoBertaForTokenClassification
- XlnetForTokenClassification

NER-DL in Spark NLP



Char-CNN-BiL





STATE OF THE ART

Relation Extraction Legal NLP

Welcome - We have a lot of things ahead of us

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Understand Relationships in Legal Documents

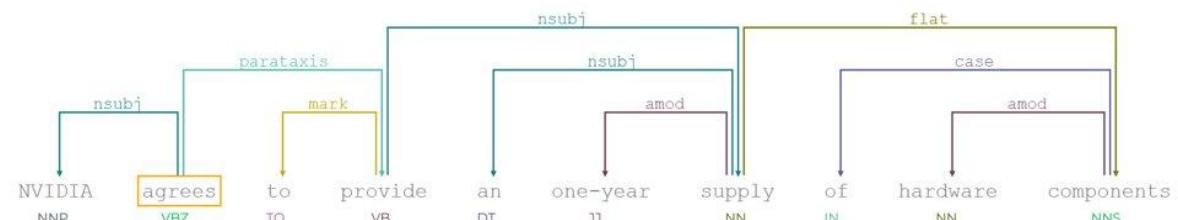
This INTELLECTUAL PROPERTY AGREEMENT (this "Agreement"), dated as of

December 31, 201_{EFFDATE} (the "Effective Date") is entered into by and between

Armstrong Flooring, Inc_{PARTY} a Delaware corporation ("Seller") and AFI Licensing LLC_{ALIAS}

, a Delaware limited liability company ("Licensing") and together with Seller_{ALIAS}

"Arizona") and AHF Holding, Inc. (formerly known as Tarzan HoldCo, Inc.), a



Relation Extraction

Relation Extraction is the NLP Task in charge of detecting if there is any relationship between 2 NER entities, and categorize them.

- Relation Extraction requires **Word embeddings**.
- As with Classification and NER, **Relation Extraction** also requires **splitting**. However, the main difference is that **entities may be in different sentences**, especially in Legal NLP, so it's recommended a bigger splitting than sentences. Usually **paragraph splitting** has good results, but you can also use **section** splitting.

Relation Extraction always goes after **Entity Recognition (NER)**, and tries to **categorize each pair of entities** retrieved in the same chunk,

What happens with texts with many entities?	What happens with long texts?
<p>Relation Extraction will try to understand if each combination of 2 entities is a category.</p> <p>This may be low performant or have undesired results, which you can prevent by:</p> <ul style="list-style-type: none">• Setting which combinations of entities may be checked.	<p>Relation Extraction will try to understand if each combination of 2 entities is a category.</p> <p>This may be low performant or have undesired results, which you can prevent by:</p> <ul style="list-style-type: none">• Set a maximum distance between entities.

Relation Extraction

```
"""
ONLY NEEDED IF YOU WANT TO FILTER RELATION PAIRS OR SYNTACTIC DISTANCE
pos_tagger = PerceptronModel()\
    .pretrained("pos_clinical", "en", "clinical/models") \
    .setInputCols(["document", "tokens"])\
    .setOutputCol("pos_tags")

dependency_parser = DependencyParserModel() \
    .pretrained("dependency_conllu", "en") \
    .setInputCols(["document", "pos_tags", "tokens"]) \
    .setOutputCol("dependencies")

Set a filter on pairs of named entities which will be treated as relation candidates
re_filter = RENerChunksFilter()\n    .setInputCols(["ner_chunks", "dependencies"])\n    .setOutputCol("re_ner_chunks")\n    .setMaxSyntacticDistance(7)\n    .setRelationPairs(['PARTY-ALIAS', 'DOC-PARTY', 'DOC-EFFDATE'])\n"""

re_model = legal.RelationExtractionDLModel.pretrained("legre_contract_doc_parties", "en", "legal/models")\
    .setPredictionThreshold(0.5)\n    .setInputCols(["ner_chunk", "sentence"])\n    .setOutputCol("relations")

pipeline = nlp.Pipeline(stages=[\n    documentAssembler,\n    sentenceDetector,\n    tokenizer,\n    embeddings,\n    nerModel,\n    nerConverter,\n    reModel\n])
```

For doing that, we have a helper annotator called **RENERChunksFilter**.

You can use:

- **setMaxSyntacticDistance**, to restrict the maximum distance between 2 entities.
- **setRelationPairs**, to allow only certain combination of entity types.

These steps are optional, as you can see in some examples they will just be commented out. In other cases it will be crucial due to false positives or negatives.

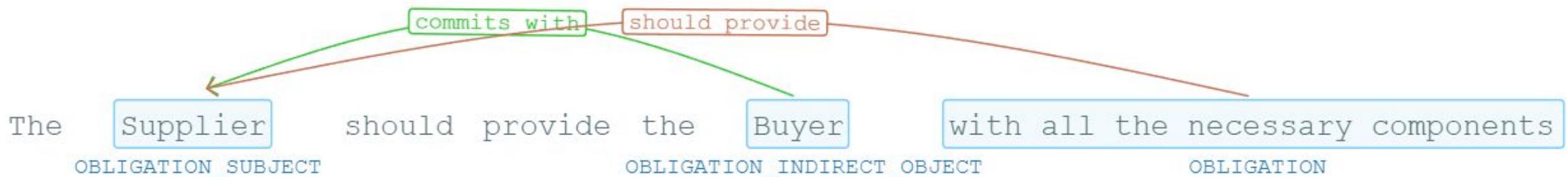
Zero-shot Relation Extraction

As with Zero-shot NER, we can carry out zero-shot Relation Extraction, using the following prompt syntax:

```
re_model = legal.ZeroShotRelationExtractionModel.pretrained("legre_zero_shot", "en", "legal/models")\
    .setInputCols(["ner_chunk", "document"]) \
    .setOutputCol("relations")

re_model.setRelationalCategories({
    "should_provide": ["{OBLIGATION SUBJECT} will provide {OBLIGATION}", "{OBLIGATION SUBJECT} should provide {OBLIGATION}"],
    "commits_with": ["{OBLIGATION SUBJECT} to {OBLIGATION INDIRECT OBJECT}", "{OBLIGATION SUBJECT} with {OBLIGATION INDIRECT OBJECT}"],
    "commits_to": ["{OBLIGATION SUBJECT} commits to {OBLIGATION}"],
    "agree_to": ["{OBLIGATION SUBJECT} agrees to {OBLIGATION}"],
})
```

setRelationalCategories requires a dictionary, having as keys the relationship name, and as values a list of possible prompts which model those relations. In **brackets {}** you need to put the **entity names** (from NER) involved in the relation.



Annotators

- **RelationExtractionDL**: a span-bert (transformer-based) Relation Extraction model. We provide notebooks to train and import it into Spark NLP.
- **RelationExtraction**: a feature-based multilayer-perceptron model.
- **ZeroShotRE** Zero Shot Relation Extraction. No data required, just *prompts*.



STATE OF THE ART

Assertion Status Legal NLP

Welcome - We have a lot of things ahead of us

50 min

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01.Page_Splitting.ipynb
02.Sentence_Splitting_Tokenization.ipynb
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04.1.Training_Legal_Binary_Classifier.ipynb

10 min

break

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Understand Entities in Context with Assertion Status.
Question&Answering Models. Data Normalization, Mapping, Augmentation

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09.0.Normalization_with_Entity_Resolution_Edgar.ipynb
10.0.Data_Augmentation_with_ChunkMappers.ipynb

10 min

break

50 min

Deidentification. Financial Graph on a real use case. Integration with Visual NLP.

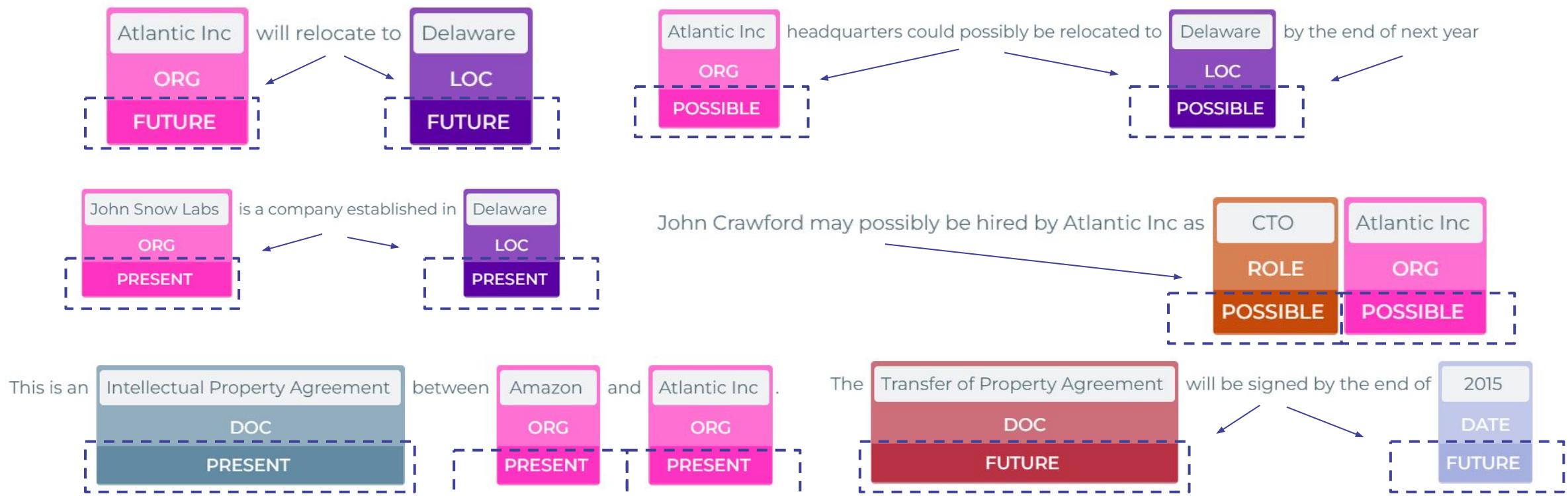
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Understanding Entities in Context: Assertion Status

Assertion Status is the NLP Task in charge of **understanding entities in context**, and categorize them base on it. For example, it can detect if an entity is mentioned in a *Past*, *Future*, *Present* or *Possible* context.

- **Assertion Status** requires **Word embeddings**.
- **Assertion Status** also requires **splitting**. However, the main difference is that will need to decide if the context of the sentence of the entity is enough or you want to provide with more. That should be taken into account to decide either to go with **sentence splitting** or with **paragraph splitting**. Usually, sentence splitting should suffice.

Assertion Status always goes after **Entity Recognition (NER)**.



Annotators

- **AssertionDL**: a multilayer perceptron model using embeddings..
- **AssertionLogReg**: a feature-based multilayer-perceptron model



STATE OF THE ART

Entity Resolution Legal NLP

Welcome - We have a lot of things ahead of us

50 min

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Entity Resolution



Entity Resolution is the NLP Task in charge of, given an **NER chunk, retrieve the most semantically similar candidate** from a training set the model has been trained on. But it is much more than a *Text Similarity task*, **it can store unique IDs** so that, after the sentence similarity task, it retrieves not only the most similar **name, but also an ID**.

It requires **Sentence Embeddings**

This LOAN AGREEMENT, dated as of November 17, 2014 (this “Agreement”), is made by
and among Auxilium Pharmaceuticals, Inc., a corporation incorporated under the laws of the State of

Auxilium Pharmaceuticals, Inc (from NER)

- Normalized name (Edgar): **AUXILIUM PHARMACEUTICALS INC**
- Unique ID (Edgar): **0001182128**

Entity resolution IS NOT a Deep Learning model, it carries out Semantic Search using a Language Model (embeddings).

Entity Resolution

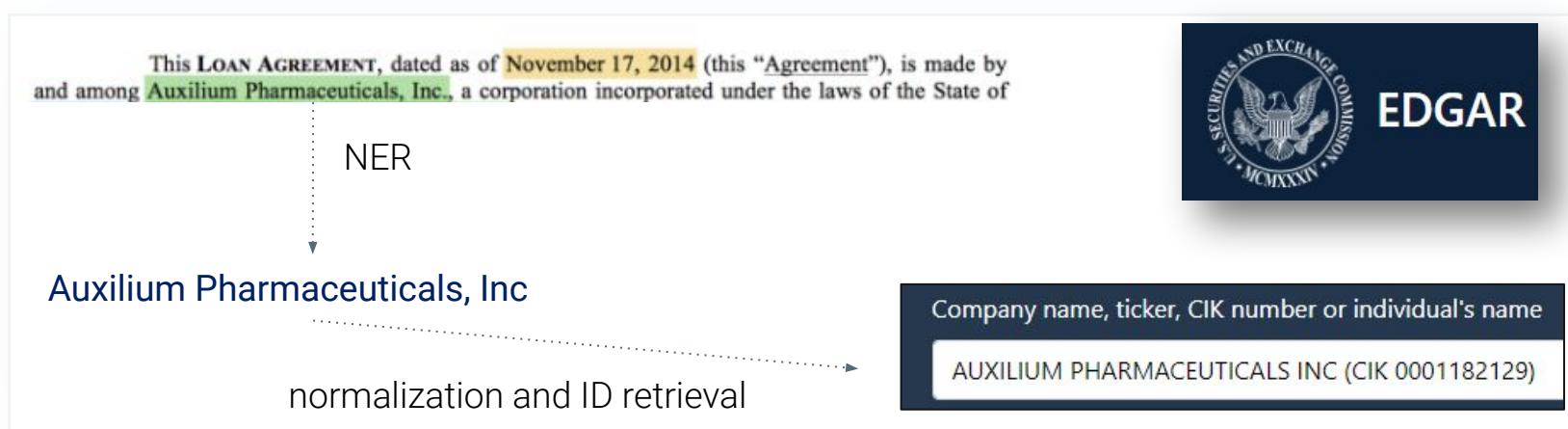


Entity Resolution is the NLP Task in charge of, given an **NER chunk**, **retrieve the most semantically similar candidate** from a training set the model has been trained on. But it is much more than a *Text Similarity* task, **it can store unique IDs** so that, after the sentence similarity task, it retrieves not only the most similar **name, but also an ID**.

It requires **Sentence Embeddings**.

This has been widely used for retrieving **normalized versions** of, for example, **company names** (which can have many version as *INC, Inc., inc.*, different punctuation, etc) and their **unique ID**, as for example, their CIK in Edgar Database

Entity Resolution goes always after **Name Entity Recognition (NER)**.



Entity resolution IS NOT a Deep Learning model, it carries out Semantic Search using a Language Model (embeddings).

Annotators

- **EntityResolver**: a multidimensional data structure storing embeddings and data associated to them, and able to be used at scale for semantic similarity operations..



STATE OF THE ART

Data Augmentation with Chunk Mappers Legal NLP

Welcome - We have a lot of things ahead of us

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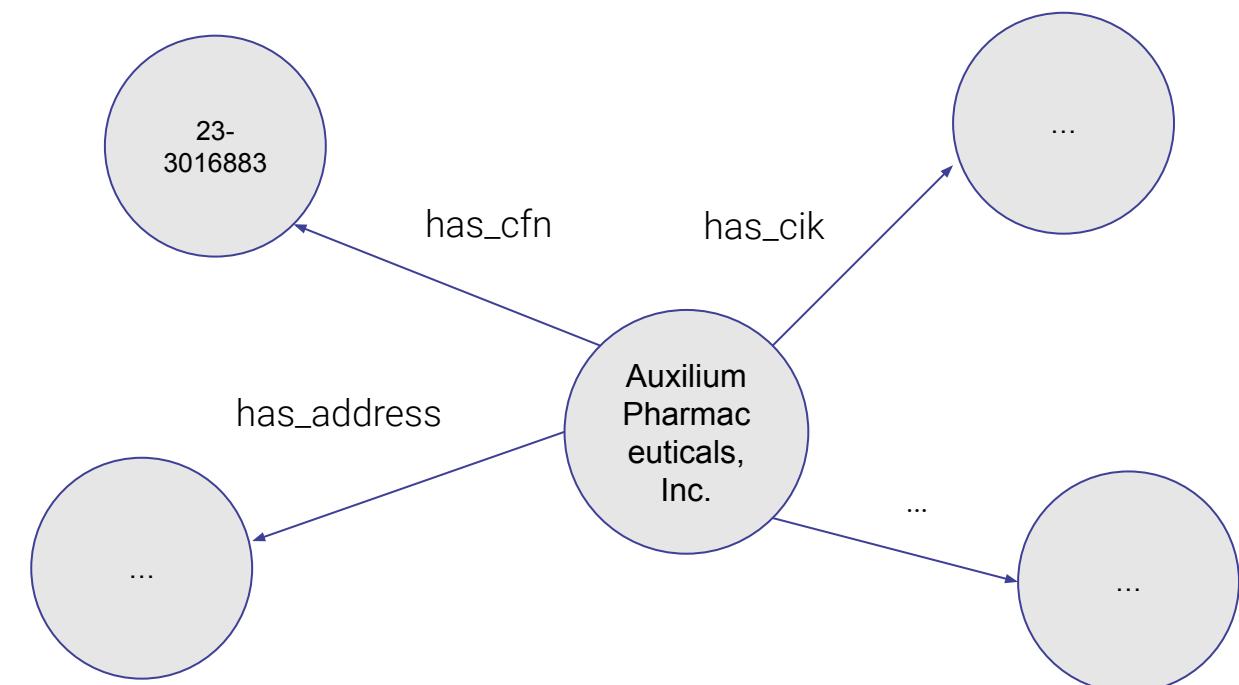
Data augmentation with Chunk Mappers

Given an **NER chunk extracted in NER**, and a **dictionary** in json format, you can use the NER chunks as a **key to retrieve the values from a dictionary** in form of relationships.

Example:

This LOAN AGREEMENT, dated as of November 17, 2014 (this "Agreement"), is made by
and among Auxilium Pharmaceuticals, Inc., a corporation incorporated under the laws of the State of

```
"mappings": [  
  {  
    "key": "Auxilium Pharmaceuticals, Inc.",  
    "relations": [  
      {  
        "key": "has_cfn",  
        "values" : ["23-3016883"]  
      },  
      ...  
    ]  
  }]
```



Data augmentation with Chunk Mappers

Given an **NER chunk extracted in NER, and a dictionary** in json format, you can use the NER chunks as a **key to retrieve the values from a dictionary** in form of relationships.

Chunk Mappers always go after **Entity Resolution**, because in your json file you should have unique keys. That means you should not save in a Chunk Mapper both *Auxilium Pharmaceuticals* and *Auxilium Pharmaceuticals Inc*, **you should only stored the normalized / official version** (AUXILIUM PHARMACEUTICALS INC, as per Edgar Database) in the json. And then, after NER, you carry out **normalization with Entity Resolvers**, and then Chunk Mapping to retrieve the rest of information.



Chunk Mapping IS NOT a Deep Learning model, it carries out scalable offline mapping in json structures.

Annotators

- **ChunkMapper:** a key-value data storage to be queried by keys and retrieve relations and values.



STATE OF THE ART

**Question & Answering
Legal NLP**

Welcome - We have a lot of things ahead of us

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Legal NLP Question Answering

	Entity	Question
0	DATE	['When was the company acquisition?', 'When was the company purchase agreement?']
1	ORG	['Which company?', 'Which was the company acquisition?']
2	STATE	['Which state?']
3	AGREEMENT	['What kind of agreement?']
4	LICENSE	['What kind of license?']
5	LICENSE_REC	['To whom the license is granted?']
6	ALIAS	['Which is the alias?']

In February 2017, the Company entered into an asset purchase agreement with NetSeer, Inc..

DATE

AGREEMENT

ORG

The Company hereby grants to Seller a perpetual, non-exclusive, royalty-free license

Seller
LICENSE_RECIPIENT

perpetual
LICENSE

non-exclusive
LICENSE

royalty-free
LICENSE

On March 12, 2020 we closed a Loan and Security Agreement with Hitachi Capital America Corp. (also known as "Hitachi").

DATE

AGREEMENT

ORG

ALIAS

Legal NLP Question Answering

Question Answering is the NLP Task in charge of, given a **question**, **retrieve an answer**. **There are two main groups of QA models:**

- **Open book**: We provide also with a context where to look.
- **Closed book**: The knowledge is stored in the Language Model and you don't give any example.

We use the *Open-book* approach, as **we want to retrieve answers in our specific documents**.

These models are **NLI**-based (*Natural Language Inference*). They use the question as a **hypotheses**, and try to find the maximum number of consequent tokens which maximize the probability to be an **answer** to that hypotheses.

Premise	Hypotheses	Inference Results
In February 2017, the Company entered into an asset purchase agreement with NetSeer, Inc.	The Agreement is an Asset Purchase Agreement.	Entailment
	The Company entered into agreement in March 2020.	Contradiction
	The Company is John Snow Labs, Inc.	Neutral

	Entity	Question
0	DATE	['When was the company acquisition?', 'When was the company purchase agreement?']
1	ORG	['Which company?', 'Which was the company acquisition?']
2	STATE	['Which state?']
3	AGREEMENT	['What kind of agreement?']
4	LICENSE	['What kind of license?']
5	LICENSE_REC	['To whom the license is granted?']
6	ALIAS	['Which is the alias?']

On March 12, 2020 we closed a Loan and Security Agreement with Hitachi Capital America Corp . (also known as "Hitachi".)
DATE AGREEMENT ORG
ALIAS

Annotators

- **BertForQuestionAnswering:** NLI-based models to retrieve answers to questions in textual format using Bert.
- **RoBertaForQuestionAnswering:** NLI-based models to retrieve answers to questions in textual format using RoBerta.
- **DistilBertForQuestionAnswering:** NLI-based models to retrieve answers to questions in textual format using DistilBert.
- ...



STATE OF THE ART

**Graph Creation
Legal NLP**

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TWELFTH AMENDMENT TO AMENDED AND RESTATED CREDIT AGREEMENT

27th day of December, 2007

dated_as

signed_by

signed_by

signed_by

CULP, INC., a North Carolina corporation

THIS **TWELFTH AMENDMENT TO AMENDED AND RESTATED CREDIT AGREEMENT** ("Twelfth Amendment") is made as of the **27th day of December, 2007**, by and between **CULP, INC., a North Carolina corporation** PARTY

(together with its successors and permitted assigns, the "Borrower"), and

WACHOVIA BANK, NATIONAL ASSOCIATION (formerly, **Wachovia Bank**, N.A.), a
national banking association, as Agent and as a Bank (together with its endorsees, successors and assigns, the "Bank").

WACHOVIA BANK, NATIONAL ASSOCIATION

has alias

Wachovia Bank



STATE OF THE ART

Deidentification Legal NLP

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De-Identification

DATE: 2020-02-01 10:00:00 AM

AGREEMENT NUMBER: 1234567

26 Mar 2022
IN WITNESS WHEREOF, the Parties
have duly executed this Agreement as
of the date first written above.
ARMSTRONG FLOORING, INC.

By: /s/
Donald R. Maier Title: President and
Chief Executive Officer

Detect
sensitive
entities

DATE: 2020-02-01 10:00:00 AM

AGREEMENT NUMBER: 1234567

26 Mar 2022
IN WITNESS WHEREOF, the
Parties have duly executed this
Agreement as of the date first written
above. ARMSTRONG FLOORING, INC.

By: /s/
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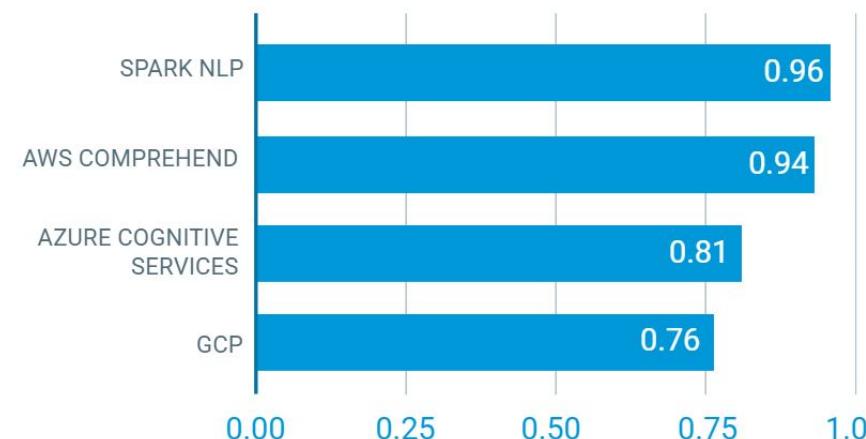
Transform
sensitive
entities

DATE: 2020-02-01 10:00:00 AM

AGREEMENT NUMBER: 1234567

16 Jan 2019
IN WITNESS WHEREOF, the
Parties have duly executed this
Agreement as of the date first written
above. AUXILIUM, INC.

By: /s/
David Bill Title: Director and Chief
Accounting Officer



Legal NLP Deidentification



Deidentification is the NLP task in charge of:

- 1) **Masking NER chunks or Obfuscating (faking) with synthetic data;**
- 2) **Returning an anonymized version** of the text;

It works on top of **NER** and **ContextualParser**, with specific **Deidentification** annotators which retrieve the NER chunks and mask / obfuscate them, all along with some other capabilities as *Language*, *Masking Technique*, *Date shift selection*, etc.

	Sentence	Masked	Masked with Chars	Masked with Fixed Chars	Obfuscated
0	CARGILL, INCORPORATED		[*****]	****	TURER INC
1	By: Pirkko Suominen	By:	By: [*****]	By: ****	By: SESA CO.
2	Name: Pirkko Suominen Title: Director, Bio Technology Development Center, Date: 10/19/2011	Name: : Center, Date:	Name: [*****]; [*****] Center, Date: [*****]	Name: ****: **** Center, Date: ****	Name: John Snow Labs Inc: Sales Manager Center, Date: 03/08/2025
3	BIOAMBER, SAS	,	[*****], [*]	****, ****	Clarus Ilc., SESA CO.
4	By: Jean-François Huc	By:	By: [*****]	By: ****	By: JAMES TURNER
5	Name: Jean-François Huc Title: President Date: October 15, 2011\n\nemail : jeanfran@gmail.com...	Name: : Date:\n\nemail :\n\ncphone : 0	Name: [*****]: [*****]Date: [*****]\n\nemail : [*****]\n\ncphone : ...	Name: ****: ****Date: ****\n\nemail :\n\ncphone : ****0	Name: MGT Trust Company, LLC: Business ManagerDate: 11/7/2016\n\nemail : Berneta@hotmail.com)\n...

Annotators

- **Deidentification:** Model that retrieves NER entities and masks, obfuscates them with default, custom vocabulary, applying date shifting and other consistency criteria.



STATE OF THE ART

Prompt Generation Legal NLP

Legal NLP NER QA-based: Automatic Question Generation

One of the main restrictions of Zero-shot NER or QA is that you need the question before hand. Fortunately, there is a way you can generate **questions (prompt) on the fly**.

1. Imagine you want to extract:

The Buyer shall use such materials and supplies only in accordance with the present agreement

2. **NerQuestionGenerator** annotator can generate questions for you if you have an NER with retrieves **SUBJECT** and **VERB**, which is much easier to train (for example, **legner Obligations**)

The Buyer shall use

SUBJECT VERB

```
qagenerator = legal.NerQuestionGenerator()\n.setInputCols(["ner_chunk"])\n.setOutputCol("question")\n.setQuestionMark(False)\n.setQuestionPronoun("What")\n.setEntities1(["OBLIGATION SUBJECT"])\n.setEntities2(["OBLIGATION ACTION"])
```

```
+-----+\n|result|\n+-----+\n|[What Buyer shall use ]|\n+-----+
```

we send it to QA

```
qa =nlp.BertForQuestionAnswering.pretrained("legqa_bert_large","en", "legal/models")\n.setInputCols(["question", "document"])\n.setOutputCol("answer") \n.setCaseSensitive(True)
```

such materials and supplies only in accordance with the present agreement

Annotators

- **NerQuestionGenerator**: Takes the output of 2 NER models and creates prompts to be used in Question Answering or even Zero-shot NER.



STATE OF THE ART

**Text and Layout information
Legal NLP and Visual NLP**

Visual classification



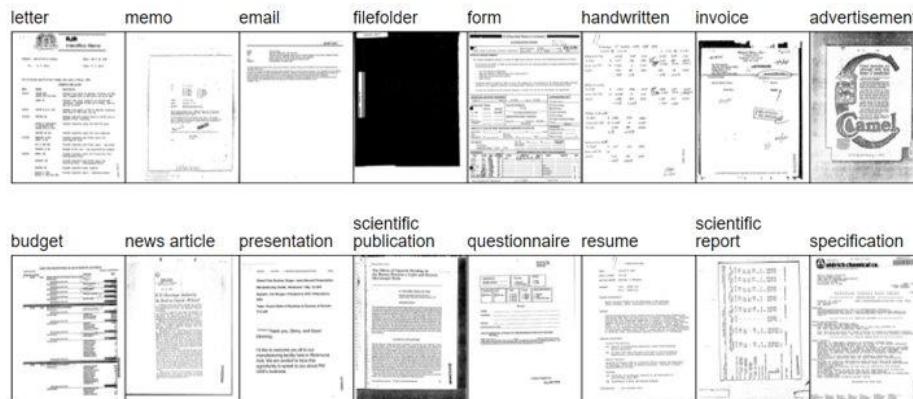
Sometimes textual information is not enough to classify a document. For example, let's suppose you have to classify 2 types of document with the same content, but only differing in the layout disposition of the information.

If we just get the text from them, and the contents are the same, Legal NLP by itself may get confused. For this, we have 2 ways to go:

Legal NLP with Vision Transformers Image Level

Don't use text at all. Use **Visual Transformers** (**ViT models**) to transform only at image-level.

Characters consist of pixels, so they will be taken into account. Not a **language-level**, but a **pixel-level**.



Inconvenient: If you need the text to do NLP afterwards, maybe it's quicker to use the previous approach

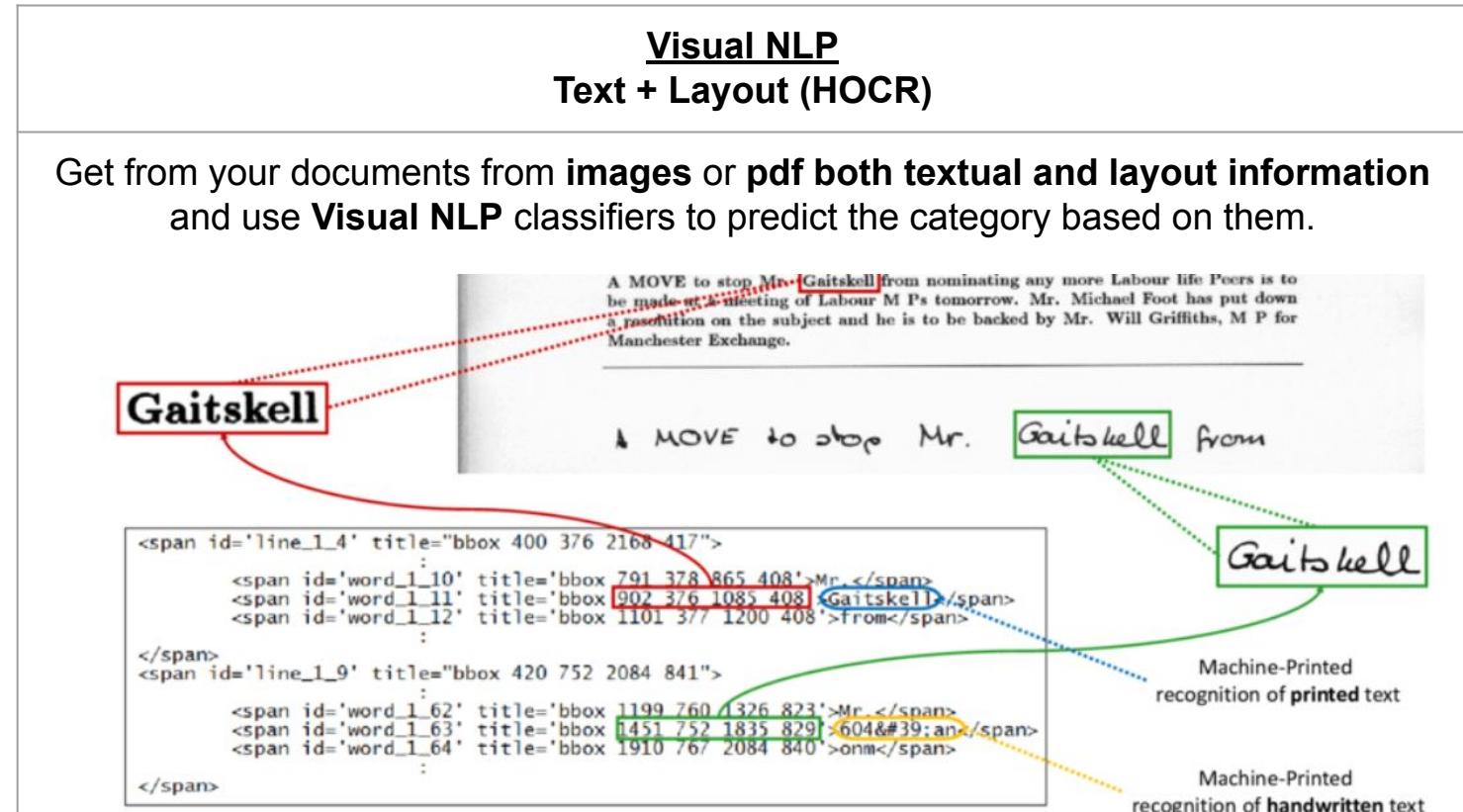
Visual classification

Sometimes textual information is not enough to classify a document. For example, let's suppose you have to classify 2 types of document with the same content, but only differing in the layout disposition of the information.

If we just get the text from them, and the contents are the same, Legal NLP by itself may get confused. For this, we have 2 ways to go:

Visual NLP
Text + Layout (HOCR)

Get from your documents from **images** or **pdf** both **textual and layout information** and use **Visual NLP** classifiers to predict the category based on them.



```
<span id='line_1_4' title="bbox 400 376 2168 417">
    :
    <span id='word_1_10' title="bbox 791 378 865 408">Mr. </span>
    <span id='word_1_11' title="bbox 902 376 1085 408">Gaitskell</span>
    <span id='word_1_12' title="bbox 1101 377 1200 408">From</span>
    :
</span>
<span id='line_1_9' title="bbox 420 752 2084 841">
    :
    <span id='word_1_62' title="bbox 1199 760 1326 823">Mr. </span>
    <span id='word_1_63' title="bbox 1451 752 1835 829">>604&#39;an</span>
    <span id='word_1_64' title="bbox 1910 767 2084 840">onm</span>
    :
</span>
```

Inconvenient: This approach uses OCR and tables, handwritten text, images, etc. may be ignored

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Other Visual NLP capabilities



Document Classification

Classified Image

This AGREEMENT (the "Agreement") is entered into effective as of _____
(Date) _____, by and between _____, a _____ corporation ("Party A").
In consideration of the mutual covenants contained herein and other good and valuable
consideration, the parties agree as follows:
1. [Statement of Business Relationship, Rights, Obligations] Subject to the terms and
conditions of this Agreement,
2. [Item Details, etc.], Party A agrees to pay Party B:
3. [Financial conditions]
4. [Other terms conditions]
5. [Term and Termination] The initial term of this Agreement will be for _____ months.
Thereafter, the term will be for one year unless otherwise specified in writing by either party.
Either party may terminate this Agreement at any time before its final term or any renewal term is
commenced, for any reason, but not less than at all, provided that at least _____ days' notice or written
notice of termination is given to the non-terminating party by the terminating party.
6. [Applicable Law, Disputes] This Agreement will be governed by and construed in
accordance with the laws of the State of _____, without regard to any conflict of
laws principles that might otherwise govern or interpretation of this Agreement in
the laws of another jurisdiction. This Agreement will be construed and all disputes be construed as
arising according to this meaning, and not by the law of any other party.
7. [Cross-Reference] This Agreement is intended to be contemporaneous, with the same effect as
if both parties had signed this same document. All such contemporaneity will be deemed as original
with the content of original and will constitute one and the same document.
8. [Entire Agreement, Amendment] This Agreement constitutes the entire understanding
between the parties and supersedes all prior negotiations, understandings, writings, representations, and
understandings, oral and written, and all other communications between the parties relating to
the subject matter hereof. This Agreement cannot be amended or otherwise modified except in
writing that is countersigned by all of the parties.
9. [Party B Note] This agreement will be binding upon, and inure to the benefit of, each of
the parties hereto in the manner applicable to them and their respective successors and assigns.
10. [Initial Understanding] Each party has read this entire Agreement fully and
completely, has had the opportunity to obtain independent advice with respect thereto, and is
relying thereon in execution of any kind he executes it. This Agreement reflects the mutual
understanding of the parties with respect to all subjects herein addressed herein and will be
construed accordingly.

Classification

This document has been classified as: **Agreement**
Classification Confidence: **99.6%**

From images, pdf, docx, ppt...

EXHIBIT 1A.1a

DRAFT (Amended 1/12/00 Rev 1) SUPPORT AND MAINTENANCE AGREEMENT

This Support and Maintenance Agreement ("Agreement") is entered into as of the _____ day of _____, 2000 (the "Effective Date") by and between XACCT Technologies, Inc., a Delaware corporation ("XACCT") with its principal place of business at 2900 Lakeside Drive, Suite 100, Santa Clara, California 95054 and _____, a _____ corporation ("Licensee") with its principal place of business at _____.

The Agreement is to bind the parties and their successors in interest, which XACCT will provide its subcontractors and support services (as defined below) for the Product which is licensed by Licensee from XACCT (the "User Software License Agreement" ("License Agreement")) if usage agrees to usage restrictions in this Agreement, otherwise terms and conditions of the License Agreement are incorporated by reference. Capitalized terms that are not defined in Section 1, below or elsewhere in this Agreement have the same meaning as in the License Agreement.

1. DEFINITIONS

1.1 "Approved License Contract" means a license agreement which is not required to contact the XACCT support center.

1.2 "Licensee" means a single, discrete organization or other entity which uses a product in accordance with the terms of this Agreement.

... to plain text

EXHIBIT 10.16

DRAFT (Americas) 1/12/00 (Rev 1) SUPPORT AND MAINTENANCE AGREEMENT

This Support and Maintenance Agreement ("Agreement") is entered into and is effective as of the _____ day of _____, 2000 (the "Effective Date") by and between XACCT Technologies, Inc., a Delaware corporation ("XACCT") with its principal place of business at 2900 Lakeside Drive, Suite 100, Santa Clara, California 95054 and _____, a _____ corporation ("Licensee") with its principal place of business at _____.



Object detection



Thank you!