

Are you Part-Paperless and Part-Through?

Your value is your expertise and your ability to provide custom tailored recommendations to your clients, but what about your process? **Is it easy to do business?** Do you struggle with these “part-paperless” and “part-through processing” challenges?

- ◆ Inefficient Document Management
- ◆ Inadequate Workflows
- ◆ Minimal Audit Trails
- ◆ High Not-In-Good-Order (NIGO) Rates
- ◆ Critical Delays
- ◆ Reliance On Overnight Mail
- ◆ Processing “Black Holes” and Lack of Visibility
- ◆ Manual Indexing
- ◆ Lack of eSign Options
- ◆ No Check 21 Processing
- ◆ Manual OSJ Review

The Power of Straight-Through Processing (STP)

Now you can process all of your business, including communications and transactions, between all parties involved with **the only SEC/FINRA compliant, cloud-based, interconnected network used by more Broker Dealers, RIAs, Investment Providers and Advisors** than any other processing system.

Whether it’s a single request to the home office, or a complex transaction involving multiple products across multiple financial firms, you can process it electronically and securely with Docupace ePACS Straight-Through Processing.

Your broker dealer is a member of the Docupace STP Network.

HERE'S HOW STRAIGHT-THROUGH PROCESSING WORKS

START



1

- Advisor Completes Basic Questionnaire
- Forms are Automatically Retrieved from over 60,000 Broker Dealer and Investment Provider Forms.
- Data Prepopulates from Your Integrated CRM
- Missing Information is Highlighted for Data Entry
- Errors are Identified for Correction



2

- Structured Compliance Review Process



3

- Client Signature Obtained via e-Signature



4

- Product Sponsor Receives Electronic Delivery in Good Order
- Process Complete and Documentation Securely Stored

END

GETTING STARTED...

Everyday hundreds of Fortune 500 financial firms, specialty BDs and RIAs, and investment providers process **all their business** securely and electronically using the only SEC/FINRA compliant, cloud-based, interconnected processing platform built by Docupace.

For a low monthly cost you too can benefit from:

- ◆ The only FINRA/SEC Compliant Processing System
- ◆ Plug-n-Play Setup
- ◆ Easier Branch Audits
- ◆ Highest Level of Security for Document Storage
- ◆ Increased Visibility into Processing
- ◆ No More Paper

LET US SHOW YOU HOW.



CONTACT YOUR BROKER DEALER FOR MORE INFORMATION.



www.docupace.com