

ONE Network for All Financial Services Business



Straight-Through Processing FAQ

What is the Docupace Straight-Through Processing (STP) Network? A SEC/FINRA compliant, cloud-based, interconnected network enabling Broker/Dealers, RIAs, investment providers and advisors to process **all their business** securely and electronically.

**The future for all financial services business is
Straight-Through Processing.**

What types of business can be processed with the STP Network?

All types of business, including communications and transactions, between all parties involved. Whether it's a single request from the advisor to the home office, or a complex transaction involving multiple products across multiple vendors. The STP Network seamlessly and electronically connects the client to the advisor, the advisor to the BD/RIA, and the BD/RIA to the RIA Custodian.

TALK WITH US TODAY TO SCHEDULE A DEMO

ENTIRELY PAPERLESS. ENTIRELY SECURE. ENTIRELY COMPLIANT.

Who's currently in the STP Network?

Over 300 Docupace clients are using the Docupace STP Network to streamline their business workflow, store hundreds of millions of documents, and make Straight-Through, paperless processing a reality.

These clients include:

- ◆ Hundreds of Investment Providers
- ◆ Specialty BDs & RIAs
- ◆ Fortune 500 Financial Firms

How secure is the STP Network?

Docupace's security measures are ranked among the highest in the industry. The entire STP platform is hosted at the Tier IV Gold Data Center in the Las Vegas desert. This is the most secure hosting facility in the U.S.

Tier IV Gold Data Center

- ◆ Most Secure Hosting Facility in the U.S.
- ◆ Unparalleled Power & Bandwidth
- ◆ Highest Speed & Availability
- ◆ Guaranteed Disaster Recovery
- ◆ Zero Downtime!

So, how does the Docupace STP Network “work”?

1. The advisor meets with the client, gathers data and enters into a CRM or directly into Docupace's ePACS application.
2. Advisor launches Starting Point (Docupace's e-forms wizard) which selects the appropriate forms and pulls data from the CRM tool to populate all required forms. Since all of the forms have edits and validations, you're ensured your forms will be "in good order."
3. If the client has a check to process, the advisor can scan the check using Remit Pro. Remit Pro captures the checking data, automatically processing the funds.
4. The Advisor sends the forms electronically to the client for e-signatures or has the client e-sign the form in the advisor's office (wet signatures are optional).
5. The signed forms are processed by Docupace's ePACS solution. ePACS validates the data and e-signatures for compliance and routes to the supervisor for approval.
6. The supervisor e-signs approval as required and approves documents online (providing the BD/RIA approval). The BD/RIA now has all forms and data captured in their books and records system.
7. After BD/RIA approval, the forms, data, e-signatures and funding data are routed electronically to the RIA Custodian.
8. The RIA Custodian electronically confirms back to the BD/RIA and advisor that the account has been opened, with a new account number where applicable.

What are the benefits of becoming a member of the STP Network?

For Broker Dealers, RIAs and Investment Providers:

- ◆ Superior Compliance
- ◆ Configurable and Customizable Platform
- ◆ Highest Level of Cyber Security
- ◆ Improved Efficiency with Standardized Processing
- ◆ Increased Data Availability, Reliability and Accuracy
- ◆ Built-in Best Practices
- ◆ Modernized Back-Office READY for Growth

For Advisors:

- ◆ Seamlessly Integrates
- ◆ Completely Paperless
- ◆ Automated Processing
- ◆ Increased Visibility into Transactions
- ◆ Enables Better Client Service
- ◆ Improves Scale and Efficiency
- ◆ Increases Speed and Accuracy

For Clients:

- ◆ Faster Processing of Transactions
- ◆ Convenient and Secure e-Signature for Document Signing
- ◆ Increased Transparency
- ◆ Increased Security and Decreased Risk of Identity Theft
- ◆ No More Lost Mail
- ◆ Better Service Experienced

How do we become a STP Network member?

The Docupace Client Service and Implementation Team will be hands-on to assist you with both phases of the STP integration.

- ◆ **Phase I** – Form integration and automation into the STP Network via Quick! Forms, DocuSign or Signix, and Remit Pro
- ◆ **Phase II** - Electronic integration into the STP Network via APIs and other data file submission sources

