

The Docupace Transition Assistant Program is designed to help transitioning advisors “re-paper” all client accounts, at one time, as they are transitioning from one Broker-Dealer (BD) to another. Due to SEC/FINRA regulations, the acquiring BD cannot have access to the advisor’s client information until the advisor has moved his/her U4 to the new BD. In order to move the accounts to the new BD, the advisor will need to fill out new account “paperwork” — a very labor-intensive process. Docupace has created the Transition Assistant (TA) Program to help transitioning advisors efficiently create the new account paperwork required by his/her new BD.

**Docupace has worked closely with the new BD to ensure the advisor has the required forms to successfully move accounts.**

**This brochure provides an overview of what a typical timeline might look like for a transitioning advisor:**

**Step 1: Introduction/Informal Call (1 hour)**

All types of business, including mutual funds, insurance, annuities and alternative investments. The Docupace STP network seamlessly connects all the parties involved in a financial transaction for improved operational efficiencies, speeds transaction time and significantly reduces NIGOs.

## Step 2: Transition Kickoff Call (1 hour)

On this call, Docupace and the advisor will work through/review the following items:

- 1. Roles and Responsibilities:** Clearly identify the roles and responsibilities of all parties to ensure a successful transition.
- 2. Timeline:** Clearly identify the process, from New Account Kit Creation to U4.
- 3. Client Data Upload Guide:** Guide for populating the spreadsheet (provided by Docupace).
- 4. Client Data Upload (template):** The data-gathering spreadsheet that will be used to auto-create and auto-populate the new account kits and forms (provided by Docupace).

The advisor or his/her support staff is responsible for completing (to the best of their ability) the Client Data Upload. The more information that can be captured on this spreadsheet, the more information will be populated to the new account forms. There is a Client Data Upload template for Protocol Firms, and one for Non-Protocol Firms (open privacy policy) — each identifies “required” fields. Throughout the process, the advisor and his/her staff will have a dedicated Docupace Transitions Specialist to provide guidance and support to the office.

## Step 3: Status Calls (as needed)

Status calls between Docupace and the advisor will be regularly scheduled in order to: 1) determine the progress made toward completing the Client Data Upload and 2) answer any questions the advisor might have regarding the completion of the spreadsheet.

## Step 4: Docupace — Process Client Data Upload (2-5 days)

Once the completed Client Data Upload has been received by Docupace and is deemed “in good order,” Docupace will proceed with processing. This includes uploading data to the Docupace Transition Assistant Site/Starting Point to create new account kits and pre-populate forms. Should any issues arise during the spreadsheet review, Docupace will guide the advisor in updating the spreadsheet as required.

**Note:** Delivery times can be impacted/delayed based on inaccuracy/completeness of client data provided.

## Step 5: Docupace — Account Kit Creation Review (2 days)

Once the Client Data Upload has been processed and added to the Docupace TA Site, Docupace will review the newly created account kits (for each account registration type) before contacting the advisor and walking him/her through the review process.

## Step 6: Advisor — Kit Review and Update (5 days)

The advisor will be provided with log-in credentials for his/her Docupace Transition Assistant Site. Docupace will train the advisor and his/her staff on the Docupace core application and Starting Point. Additionally, the advisor’s scanner will be configured for scanning and uploading — in preparation for receipt of the signed forms when the advisor is affiliated with the new BD.

### The training will include the following:

1. Logging into the system
2. Review of account kits in Starting Point
3. How to add new data to an electronic form within an existing kit
4. How to add additional forms to a kit and have the data populated on those new forms
5. How to print the forms along with their corresponding barcode cover sheets
6. How to scan signed kits back into Docupace

During the training session, both Docupace and the advisor will review each account registration type to ensure that: 1) the correct account forms have been created for each registration type, and 2) the proper data has been populated on the account paperwork. The recommendation would be for the advisor to review all account kits in Starting Point in advance, making sure the forms were populated correctly. If there are errors with the data or incorrect forms were added to a new account kit, then Docupace and the advisor will work together to resolve those errors.

**Note:** It is critical the advisor or his/her staff look at the account kits before the printing process begins.

This step also provides an opportunity to add additional information to a form or add optional forms to the kit (e.g., Margin Agreement or an Option Agreement). Once any necessary information is added to forms and/or all appropriate forms have been added to the kits, the new forms and kits can be saved. At this point, the account kits are ready for printing.

### Step 7: Advisor — Printing

The advisor can start printing his/her account kits and preparing them for delivery.

**Note:** Account kits cannot be delivered to clients until the advisor is affiliated with his/her new BD.

### Step 8: Advisor — Affiliation and Document Delivery

The advisor resigns from his/her current BD and his/her U4 is picked up by the new BD. The BD will let Docupace know once the U4 is filed. Once the advisor's U4 is in place at the new BD, the advisor can start sending out the account kits for client signatures.

### Step 9: Post Transition (30 to 45 days)

At this point, the advisor has transitioned to the new BD and all of his/her new account paperwork has been pre-filled with client data, reviewed by the advisor, printed and sent to clients for signatures. As the signed paperwork comes back into the advisor's office, the advisor scans it back into his/her Docupace Transition Site for processing. Docupace will not remove access to the TA Site until confirmed and approved by the transitioned advisor.

## Transition Assistant Process & Timeline

- ◆ BD provides transitioning advisor with the TA Client Data Upload.
- ◆ BD will let Docupace know once it has delivered the Client Data Upload to the transitioning advisor; and the BD will provide the following information to Docupace:
  - ◆ Advisor name/DBA and contact information
  - ◆ Target U4 file date
  - ◆ Printing & Delivery — (i.e., BD, Vendor, or Client materials)
  - ◆ Summary of Advisory Book — Number of Accounts (BD and Direct); Number of Clients; IA Type (AMP or TPMM)

Responsible Party	Description	Notes	Duration
BD	Introduction/Informal Call	Introductions Review of Process/Timeline Review TA Client Data Upload	1 hour
Docupace	TA Service Agreement Delivery	Deliver to advisor after Introduction Call	
Advisor	TA Service Agreement Received	Must be received in order to schedule Kickoff Call	
Docupace	Transition Kickoff Call	Review Process/Timeline Client Data Upload ETA provided Demo of TA Site	1 hour
Advisor	TA Client Data Upload		
Docupace	Process TA Client Data Upload Sampling or Complete	If Sampling, Kit for each Registration Type	2 days for Sampling; 5 days to Complete
Docupace	TA Site Training; Sample Data/Kit Review		2 days
Advisor	Client Data Upload Review and Update		5 days
Advisor	Printing & Delivery Prep		Various
BD	U4 filed	BD will let Docupace know once U4 is filed	
Advisor	Delivery	Advisor must approve/sign-off	

