



ePACS Transition Assistant

Easy As Flipping a Switch

We understand the challenges advisors face when transitioning to a New Broker-Dealer. So we created our Transition Assistant solution to remove the hassle during the on-boarding process. It enables new advisors to store all their previous records, plus new transition records, in a secure, temporary repository. And there's no need to manually fill out the transfer paperwork.

When the transition of the advisor is complete, the records are immediately transferred to the new Broker-Dealers Docupace site. No business interruption. No security risk. No problem. It's as easy as flipping a switch.

ePACS is a web-based, electronic, Straight-Through Processing app providing fully integrated document management and workflow, e-Signatures, e-Forms, and Check21 processing.

**Call us to learn how this solution can help you.
866-582-3713, 310-445-7722**

Save thousands in mailing costs!

**REDUCE INTERNAL
STAFF COSTS BY**

75%

ENTIRELY PAPERLESS. ENTIRELY SECURE. ENTIRELY COMPLIANT.

Good for the Broker-Dealer

- ◆ Reduced transition costs, including mailing, labor, E&O Insurance
- ◆ Faster, fully auditable transition process
- ◆ Tool for improving recruitment
- ◆ Approved Third Party Provider for SEC/FINRA books and records, providing privacy protection throughout transition process

Good for the Advisor

- ◆ Greater client retention
- ◆ Less work for advisor's staff
- ◆ Client and account creation support
- ◆ We help extract advisor's client and account data for placement in Docupace, and organize other client account information
- ◆ Form Kits Training for advisor and staff using Docupace's Starting Point forms repository
- ◆ General Docupace training and scanner set-up

Leverage Docupace's Starting Point forms-filling solution to pre-populate advisor's client account transfer paperwork from client database:

- ◆ Broker-Dealer provides required packets based on Registration Type/Client Type
- ◆ All client packets assigned to advisor's new rep code, as provided by the Broker-Dealer
- ◆ Packages automatically created within Starting Point
- ◆ Advisor can review/modify/update data on the electronic forms within Starting Point
- ◆ Advisor submits termination letter and becomes member of the new Broker-Dealer
- ◆ Docupace grants new Broker-Dealer access to the data
- ◆ Broker-Dealer prints packages and mails them to advisor's clients
- ◆ Using Docupace's barcode technology, advisor or Broker-Dealer scans completed packets back into Docupace, automatically routing the documents to their correct location for secure, SEC/FINRA approved storage

