



## DOCUPACE FOR ADVISOR TRANSITIONS

# A hassle-free solution for transitioning advisors with automated workflows and hands-on service.

**Docupace enables advisors to transition faster, reduce NIGOs, and experience a greater client retention rate.**

Transitioning a book of business to a new broker-dealer or RIA can take 3-6 months, involve thousands of forms, and due to the missing forms and data, usually results in NIGOs (Not in Good Orders) and other compliance issues. During this process, advisors are faced with frustrating business disruptions and lost revenue.

### Why Advisor Transitions?

Docupace enables advisors to save time, money, and effort with a cloud-based advisor transition solution that quickly pre-populates the correct account paperwork.



All new account forms are pre-filled and ready to mail or eSign upon affiliation with new firm.



Documents are stored in a secure and compliant cloud-based vault.



All lines of business are covered, including direct mutual funds, insurance, brokerage, and advisory.



Significantly reduces NIGOs (Not In Good Order) allowing you to get back to "business as usual."

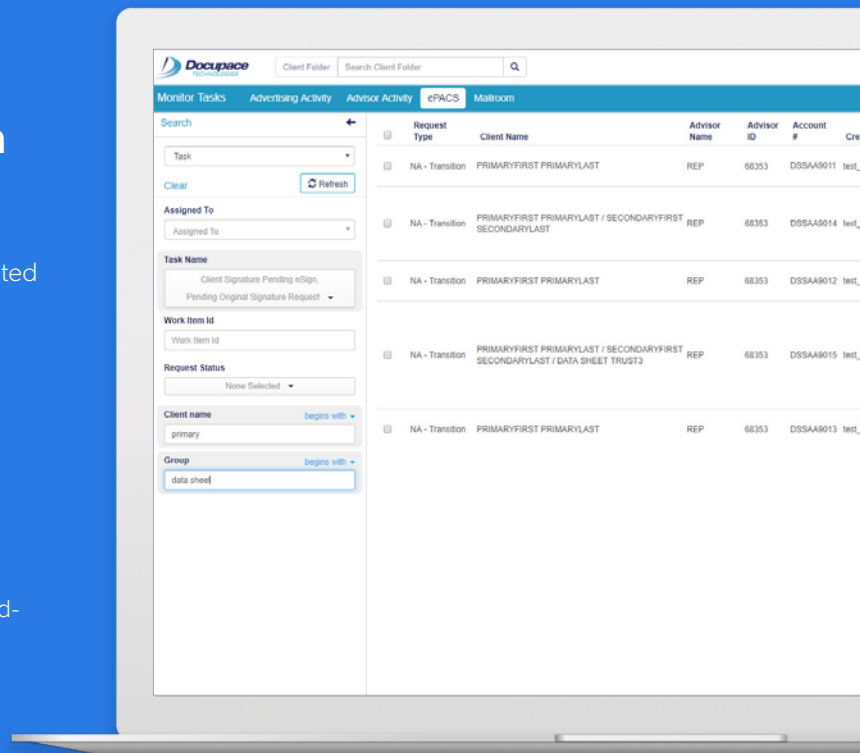


Hands on, concierge service throughout the process.

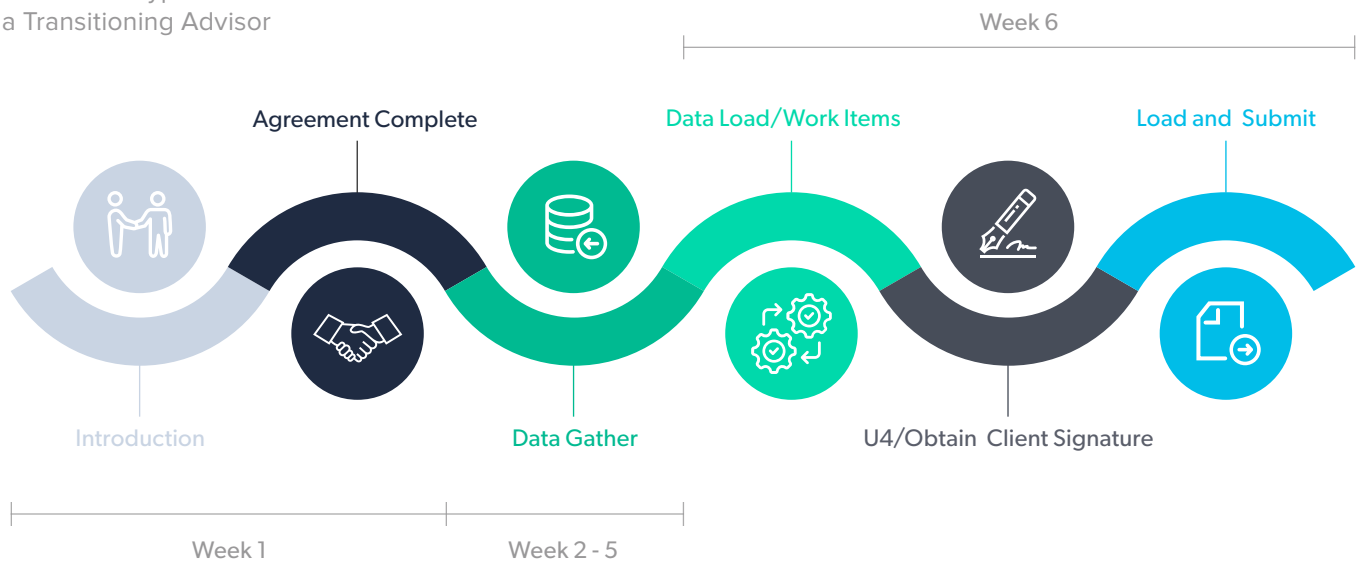
# Streamline account repapering and preserve business during a transition.

Leveraging Docupace's secure, cloud-based platform, automated workflows, compliance knowledge, and hands-on service, advisors have the ability to transition their books of business digitally in as little as 30 days.

- All new account forms are pre-filled and ready to sign before the U4 drop date
- All lines of business are covered
- All documents are stored in a secure and compliant cloud-based vault
- Expert assistance is available to the advisor throughout the process



## Overview of a Typical Timeline for a Transitioning Advisor



**Every successful transition is the result of good planning, preparation, and teamwork.**

The result is the foundation of a well-planned, smooth transition process with minimal disruption to your clients, staff, and revenue.

