



ADVISOR TRANSITIONS

Program Overview

The Docupace Advisor Transitions Program is designed to help transitioning advisors’ “re-paper” all client accounts, at one time, as they are transitioning from one broker-dealer to another. Due to SEC/ FINRA regulations, the acquiring firm cannot have access to client information until your affiliation is complete. In order to move your clients and accounts, you will need to complete new account “paperwork”—a very labor-intensive process. Docupace has worked closely with your new broker-dealer to ensure you have the required forms to successfully move accounts and optional features.

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.



The Advisor Transitions Contract

You, as a producing advisor, will contract directly with Docupace prior to gaining access to the site.

- Return signed agreement with payment information to TA@docupace.com.
- Docupace reviews the agreement to ensure completion.
- A date and time are set up for the initial data extraction.

Docupace will provide you and members of your team, if applicable, login credentials to Docupace site.

Week 2 - 5

Data Gathering

Docupace will assist you in gathering data from multiple sources (e.g., Wealthscape, Pershing NetX360, DST, Redtail, etc.). The data files are reviewed to determine what information can be used to populate the upload spreadsheet.

- Call/screen share is scheduled to begin data extraction
- Initial spreadsheet is uploaded for analysis to the Docupace site
 - Spreadsheets will not be accepted via email and should always be uploaded/downloaded from the secure site.
- Upon completion of analysis, Docupace will post the upload spreadsheet for your review,
- Once review is complete, final version of upload spreadsheet is uploaded to Docupace site for account forms creation

Week 6

Data Load/Work Items

The Advisor Transitions tool will create a work item for each account defined on the upload template. Each work item will include the required forms as well as a library of optional forms applicable to the account type. Prior to your U4 date, you and your team may:

- Review work items, adding optional forms when applicable
- Notify Docupace when all forms are ready to be printed if using "Print and Ship" or
- Print all account bundles that will be physically signed and prepare for client mailing



TARGET U4 DATE



Obtaining Client Signatures

Once affiliated with your new firm, you are ready to obtain the necessary client signatures.

- **eSignature:** allows client to electronically sign all required forms.
 - If a client has four accounts, the client would receive four eSignature envelopes.
 - All signers are notified when all parties have signed.
- **Physical signatures:** upon affiliation, account forms are provided to clients and returned to you for submission.



Load and Submit

Signed forms and data are electronically transmitted to the broker-dealer for processing.

- Physical forms are uploaded to Advisor Transitions System. Once uploaded successfully, forms are securely submitted to the broker-dealer.
- eSigned forms are electronically submitted upon completion of eSign ceremony by each signer.
- You may track work item statuses prior to final submission via the Advisor Transitions Dashboard.

**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.