



DOCUPACE FOR DOCUMENT MANAGEMENT

The Most Secure Document Storage and Organization Solution for Wealth Management Firms

End filing and retrieving frustration. Manage documents confidently in an SEC- and FINRA-compliant cloud environment.

Document management in the wealth management industry is a challenge. Going paperless is a must, but most cloud-based solutions don't integrate with financial services software and could leave you open to SEC and FINRA compliance issues.

Docupace uses government-grade encryption to help you maintain security and compliance. With Docupace, you can consolidate all of your firm's books and records — physical and digital — in order to manage files quickly and confidently.



Untether yourself from filing cabinets or local servers.

Work from anywhere with an internet connection and be confident that you'll have access to the documents you need.



Be your auditor's favorite firm.

Give SEC, FINRA, and state auditors access to all the records they need without delay, so you can satisfy their requirements and get back to business.

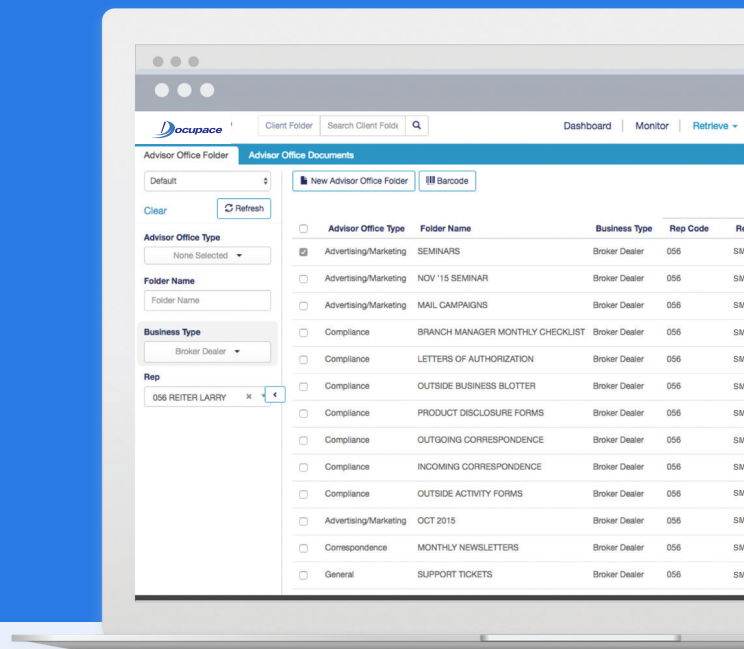


Manage books and records at minimal cost.

Reduce expenses associated with filing, records maintenance, data entry, and fines.

Take your entire office paperless with Docupace.

With a centralized, secure, cloud-based platform for managing documents, broker-dealers, RIAs, and advisors can seamlessly store, organize, and access data from anywhere, on any device.



Designed for Wealth Management

- Automatically index, organize, and store all documents and data
- Comply with rules SEC 17a-3 and 17a-4
- Use a centralized repository for indexing, searching, and retrieving
- Categorize and tag client records into individual electronic filing cabinets
- Automate scanning and importing of documents and data

Built-in Compliance Oversight

- Store files in an SEC and FINRA books and records compliant database
- Assign roles and permissions to manage access to records
- Leverage event-based retention with intelligent workflows
- Access complete audit trails and support
- Designated 3rd party provider (D3P) with representation letters

Secure Cloud Storage

- Leverage true cloud-based WORM storage
- Store data in a Tier IV gold data center, the highest security rating available
- Operate confidently with guaranteed disaster recovery

Seamless Integration with Leading Tools

- Integrate with your CRM: Proprietary, Salesforce, Redtail, Junxure, SmartOffice, and more!
- Can be integrated with firm's application
- Use an SSO with advisor workstation and/or data warehouse

Ready to transform your operations? Document management is just the beginning.

The Docupace Platform includes solutions for paperless client onboarding, advisor transitions, and so much more.