

DOCUPACE FOR REG BI

The Most Comprehensive Digital Management of Form CRS and Disclosures for Wealth Management

End Reg BI and Form CRS compliance frustrations. Improve user experiences and compliance with a digital solution.

Regulation Best Interest (Reg BI) introduces many new requirements for broker-dealers and investment advisors that will affect the way you do business and communicate with your customers. Reg BI is challenging and will inevitably inject a little chaos into the day-to-day operations of the wealth management industry.

Docupace's comprehensive paperless compliance solution enables you to simplify Reg BI compliance. Firms can now confidently ensure compliance, reduce headaches, and save money in the long run.



Make more time for what matters.

Advisors' time is valuable and now they can focus on helping clients, instead of managing forms. Reduce manual processes and give advisors more time to serve their clients.



Electronic processes make compliance simpler.

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.

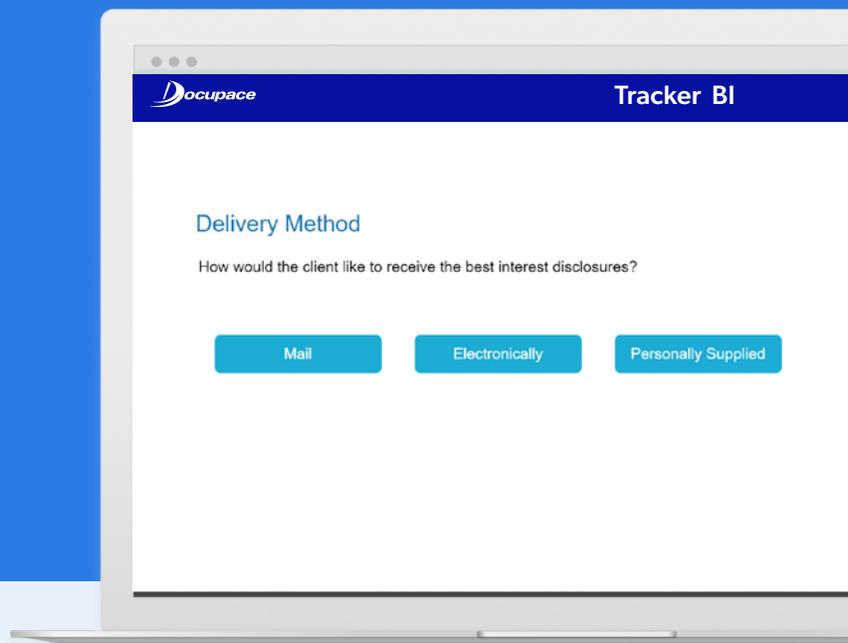


Manage Reg BI compliance at minimal cost.

Reduce expenses associated with printing, mailing, faxing, filing, records maintenance, and data entry.

Docupace Streamlines Managing Reg BI Compliance for your Entire Firm.

With a centralized and secured cloud-based platform for managing digital operations, broker-dealers, RIAs, and advisors can simplify Reg BI compliance requirements with electronic delivery, workflow automation, compliant storage, digital experience, and acknowledgment capabilities.



Designed for Wealth Management

- Send Form CRS and disclosures electronically
- Complies with Reg BI storage & delivery requirements
- Ease of use with simple process for advisors
- Paperless workflows for intelligent front-office to back-office processing
- Deliver electronically, by mail, or in-person

Built-In Compliance Oversight

- Complies with SEC mandated requirements
- Full audit trail and reporting capabilities
- Auto-mail disclosures if investor does not view electronically
- Auditability with timestamped flag that the disclosures were delivered
- Always display disclosures first—electronically or printed

Secure Storage

- Leverage true cloud-based WORM storage
- Tier IV gold data center security—the highest available and guaranteed disaster recovery
- Store records in a hyper-secure SEC 17a-3 and 17a-4 compliant digital cloud vault

Digital Experience

- Transform Form CRS from a few sheets of paper into a true digital workflow
- Enable advisors to easily capture information about the investor
- Automatic audit trail of digital delivery of the forms

Ready to transform your operations? Reg BI is just the beginning.

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