

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.

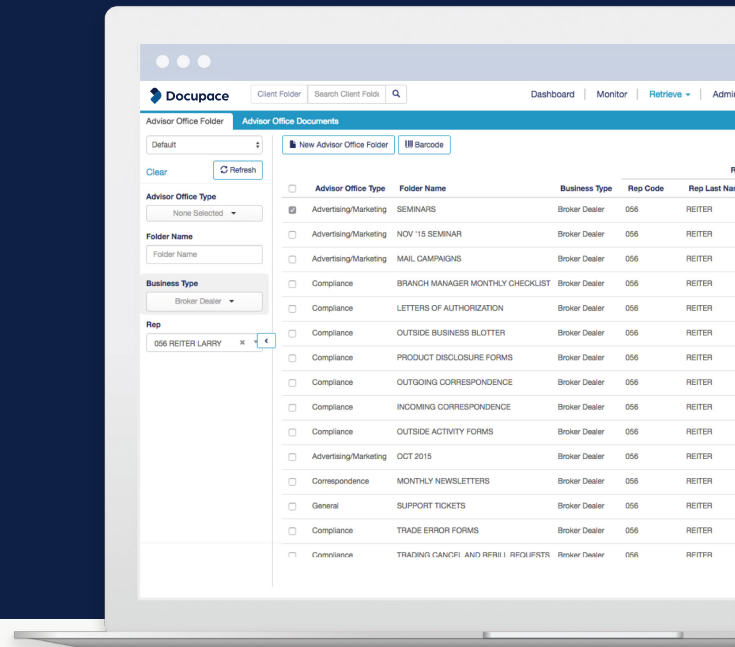


#### **Manage books and records at minimal cost.**

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.