

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.

Mastering documents 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. Not to mention, the other solutions just tackle storage. They don't let you do much with your documents. Docupace is different.

With Docupace, you not only get government-grade encryption to help you maintain security and compliance, you're also able to fully manage your files, not just store them. Easy document management and retrieval, robust indexing, version control, hierarchical security, and multi-tier file structures all come standard. It's everything you need to manage your files easily and with confidence.



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.

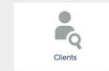
Reduce expenses associated with filing, records maintenance, data entry, and fines.

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.

Quick Start

Client Information



Request New Transaction



Manage Documents



Designed for Wealth

- 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

Seamless Integration with Leading Tools

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

Secure Cloud Storage

- Leverage true cloud-based WORM storage
- Store data in a Tier 5 platinum data center, the highest security rating available
- Operate confidently with guaranteed disaster recovery

Built-In Compliance Oversight

- More seamlessly manage entitlements and access to records
- Access complete audit trails and support
- Store files in an SEC and FINRA books and records compliant database
- Designated 3rd party provider (D3P) with representation letters

**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.

Visit www.docupace.com