

DOCUPACE COMPLIANCE AND SURVEILLANCE SUITE

If You've Got Broken Tools, You May Have Broken Some Rules

We have the PERFECT SOLUTION

Our Surveillance and Compliance solution is the antidote to the challenges you face when meeting with auditors.



OUR COMPLIANCE SOLUTION CAN:

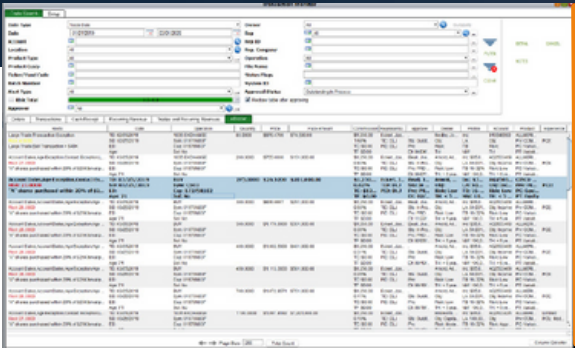
- › Automate 36-month mailings, address changes, and welcome letters
- › Track your licenses, log trades based on license status, and send an alert to your rep if there's a problem



OUR SURVEILLANCE SOLUTION CAN:

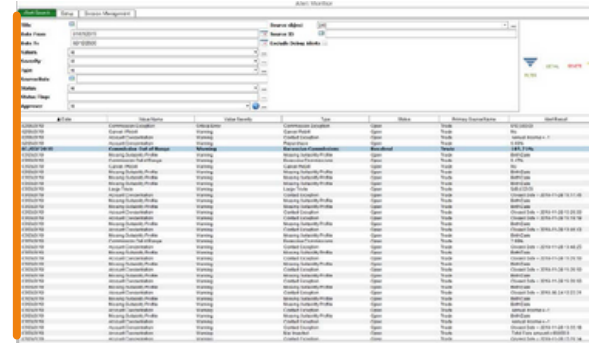
- › Automatically log transactions based on the rules you've designed
- › Provide alert-driven auditing (with +240 out-of-the-box alerts)
- › Document your escalation process with integrated workflow

We automatically load your trade, account, transaction, and position data from your providers.

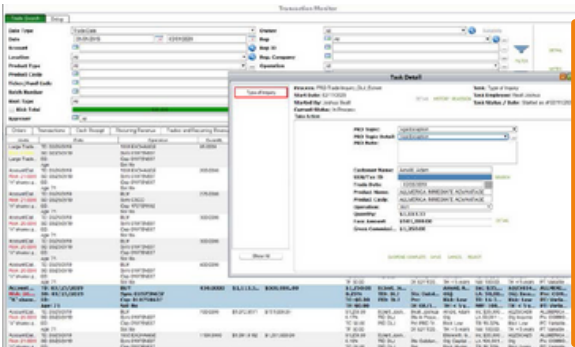


Electronic trade surveillance allows your team to focus on high-risk transactions.

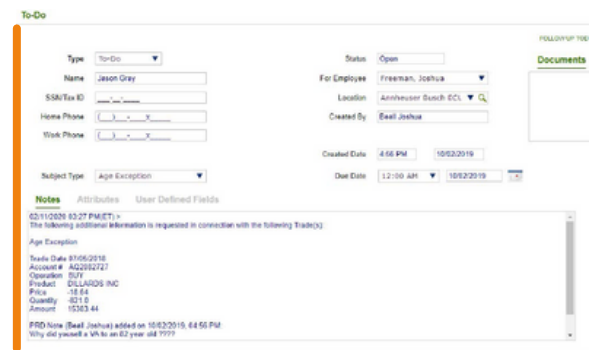
Advanced data analytics are used to generate alerts to help you manage risk.



An integrated workflow allows you to document your escalation processes.



Field sales personnel can respond real time to home office escalation processes.



Alerts are easily tailored by you to meet your risk challenges.

