Docupace

DOCUPACE COMPLIANCE TRACKR™

Simplified, Automated, Digitized Disclosure and Recommendation Tracking Compliance for Wealth Management Firms and Advisors.

To thrive in today's ever-changing regulatory environment, financial advisors and wealth management firms must simplify, automate and digitize the delivery of complex disclosures - Reg BI (Form CRS), Form ADV, DOL Rule (PTE 2020-02) - to their clients. They also need to track the details of the recommendations made.

The Compliance TRACKR™ from Docupace takes the complexity out of compliance by:

- **Sending disclosures to prospects and clients electronically with tracking when an account is being recommended**
- **Capturing recommendation details for rollovers or changing an account**
- **Storing client files in the format required by FINRA/SEC and automatically including advisor notes**
- **Tracking results and creating an audit trail for easy retrieval, review, and reporting**

Easily fulfill client disclosure requirements:

- Reg BI (CRS)
- Form ADV
- DOL Rule (PTE 2020-02)

Reduce Disclosure Headaches by 65%

End-to-end disclosure delivery and documentation of reasons for recommending retirement asset rollovers enables advisors to spend less time on paperwork and more time serving clients.

Achieve Compliance with Confidence

Compliance TRACKR simplifies Reg BI (Form CRS), Form ADV and DOL Rule tracking requirements. Give SEC, FINRA, and state examiners access to all the records through real-time reporting and audit trail capabilities.

Save $7.75 Per Disclosure Delivered Electronically

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

Docupace streamlines managing Reg BI, Form ADV, and DOL Rule Compliance for your firm

With a centralized and secured cloud-based platform for managing digital operations, broker-dealers, RIAs, and advisors can simplify client disclosure compliance adherence with electronic delivery and automatic documentation of the reasons for changing existing accounts or recommending rollover of retirement assets.

Designed for Wealth Management

- Less time on paperwork, more with clients
- Reduce regulatory compliance cost burden
- An easy-to-follow process for advisors
- Paperless workflows for intelligent front-office to back-office processing

Built-in Compliance Oversight

- Complete audit trail and real-time reporting
- Time-stamped disclosure delivery
- Complies with WORM storage and FINRA/SEC delivery instructions

Secure Storage

- Leverage cloud-based WORM storage
- Tier 5 Platinum data center security, the highest available and guaranteed disaster recovery
- Hyper-secure SEC 17a-3 and 17a-4 compliant digital cloud vault

True Digital Experience for Clients

- Complies with FINRA/SEC/DOL mandates
- Easily capture client information
- Deliver electronically, by mail, or in person
- Route disclosures to mailroom if investors don't view them electronically

Need an Adrenaline Shot for Your Business? Experience the Power of the Docupace Platform

Deploying our dynamic, scalable platform empowers wealth management firms to: bring on more advisors, improve client satisfaction and confidence, and reduce costs and headaches in the back office.

Visit www.docupace.com