



Docupace ComplianceEdge Trade Surveillance, Investment Reviews & Compliance Infrastructure

Smarter Surveillance. Proactive Compliance. Always Audit-Ready.

Why Choose Docupace ComplianceEdge?

Docupace ComplianceEdge delivers regulatory-grade trade surveillance and supervisory oversight designed for financial services firms. Simplify compliance management, reduce regulatory risk and keep your firm audit-ready with infrastructure built for efficiency, accuracy and control.

Core Features



Trade Surveillance and Post-Trade Oversight

- Configurable, risk-based alerts focus your team on high-risk activity while reducing unnecessary noise
- Post-trade and fiduciary review workflows document supervisory actions, including Regulation 9 requirements



Automated Supervisory Workflows

- Automate workflows like OFAC and FinCEN screenings
- Streamline 36-month mailings, address updates, license checks and more
- Eliminate manual processes with fully customizable rules and escalation paths



Audit-Ready Reporting

- Generate accurate, audit-ready reports in minutes
- Respond confidently to even the most complex regulatory requests with deep reporting capabilities



Integrated Data Aggregation

- Automatically aggregate, clean and normalize data from key sources, including FINRA and National Insurance Producer Registry (NIPR)
- Maintain accurate records with minimal manual intervention
- Maintain supervisory and fiduciary records with minimal manual intervention



Enhanced Data Security

- Industry-standard encryption, role-based access controls and data masking support regulatory-grade protection across financial services

Why Docupace ComplianceEdge Is the Trusted Choice for Surveillance and Compliance

1

Flexible Rule Configuration

Quickly adapt to changing regulations with rules that you can configure, test and modify based on your firm's needs.

2

Streamlined Workflows

Automate compliance tasks to reduce operational bottlenecks and free up your team for high-value work.

3

Rapid, Audit-Ready Reporting

Impress regulators with accurate reports generated in minutes to demonstrate your firm's compliance readiness.

4

Real-Time Alerts and Escalation

Receive instant alerts for flagged transactions and route issues to the appropriate team for faster resolution.

5

Scalable and Reliable Platform

Handle increased volumes of transactions and changing compliance requirements with a solution designed to grow with your firm.

Who Benefits from Docupace Trade Surveillance and Compliance Solution?

- **RIAs, Broker-Dealers & Bank Trust Departments:** Reduce regulatory risk and strengthen oversight across trade surveillance and fiduciary review programs.
- **Back Office Teams:** Save time and eliminate manual tasks with automated workflows
- **Compliance Leaders:** Be prepared for audits and regulatory inquiries with audit-ready reporting at your fingertips

Key Regulatory Focus Areas



AML Compliance



OFAC & FinCEN Screenings



Books & Records (17A-3)



Investment Reviews (Reg 9)



Trade Flagging and Suitability Alerts



Advisor Licensing and Registration Checks