

TRANSITIONS ASSISTANT

A Hassle-Free Solution for Transitioning Advisors and Accounts with Automated Workflows and Hands-on Service

Docupace enables advisors to transition faster, reduce NIGOs and experience a greater rate of client retention.

Transitioning a book of business to a new broker-dealer or RIA can take 3-6 months, involve thousands of forms and (due to the missing forms and data) result in NIGOs (Not in Good Orders) and other compliance issues. During this process, advisors are faced with frustrating business disruptions and lost revenue.

Why Advisor Transitions?

Docupace removes much of the complexity and uncertainty from advisor transitions with a cloud-based solution that automatically pre-populates the correct account paperwork, helping firms save time, minimize revenue disruption, and manage one of the most significant milestones in an advisor's career with greater speed, accuracy and confidence.

Docupace was used to transition

**500 advisors
and 120,000
client accounts**

in 2025 alone

Transition
in as little as

**30
days**



All newly made account forms are pre-filled and ready to mail or e-Sign upon affiliation with the new firm.



Your lines of business are covered including direct mutual funds, insurance, brokerage and advisory.



Hands-on, concierge service throughout the process.



Documents are stored in a secure and compliant cloud-based vault.



Significantly reduces NIGOs, allowing you to get back to business as usual.



Allows for more timely account opening and processing of transfers.

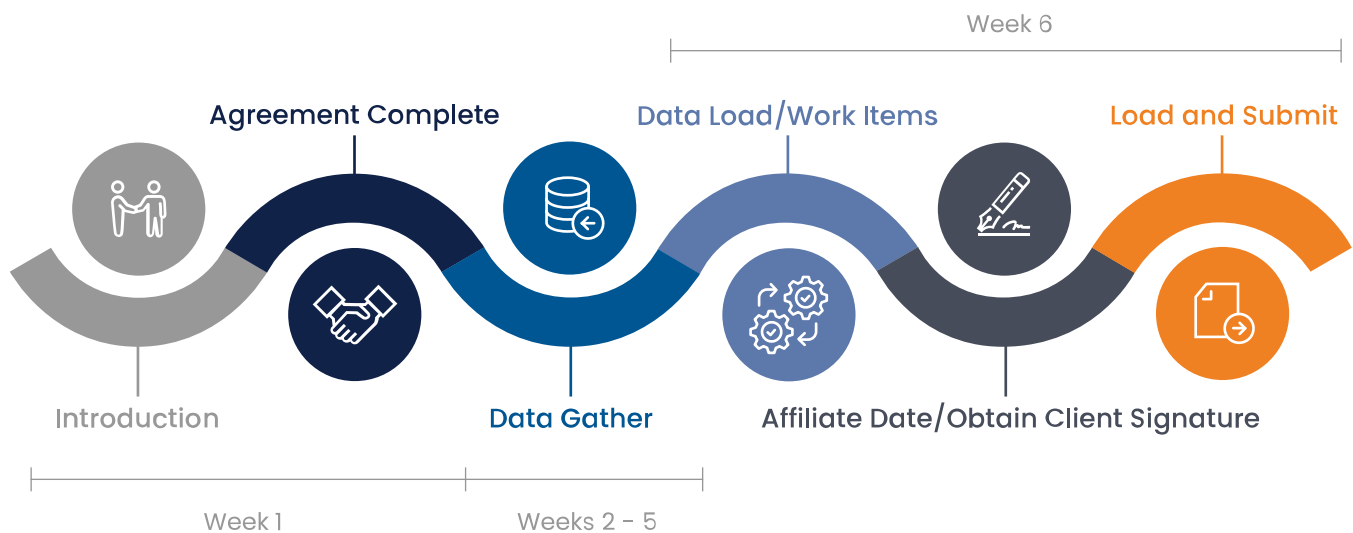


Streamline account repapering to preserve business during a transition.

Leveraging Docupace's secure, cloud-based platform, automated workflows, compliance oversight and hands-on service, advisors have the ability to transition their books of business in as little as 30 days.

- ◆ All new account forms are pre-filled and ready to sign before the affiliation date
- ◆ Supports advisors with full, low or no client data.
- ◆ All documents are processed and stored in a secure and compliant cloud-based platform
- ◆ Expert assistance is available to the advisor throughout the process

Overview of a typical timeline for a transitioning advisor



Successful transitions take planning, preparation and teamwork.

Make every advisor transition smoother, faster and less disruptive with Docupace.

Learn more at [Docupace.com](https://docupace.com)



Explore Advisor Transitions
docupace.com/financial-advisor-transitions