

What is Docupace Transition Services?

Docupace caters to the needs of transitioning advisors and has developed a solution for these advisors to store all their previous records plus new transition records in a secure temporary repository. Most importantly, you will not need to fill out transfer paperwork by hand. Once the transition is complete, those records will be immediately transferred to the advisor's new broker dealer Docupace site. There will be no business interruptions for the advisor!

Feature/Benefits

- Reduce overall cost of transition process:
 - Mailing costs
 - Labor Costs
 - E & O Insurance Costs
- Fully auditable transition process
- Reduce timeframe to complete the transition process
- Improve retention rates of clients
- Third Party Provider for SEC/FINRA books and records, providing privacy protection throughout the process
- Provide Broker Dealers the tools to improve recruitment
- Client and account creation: We will work with you to take an extract of your client and account data and place it in Docupace. You will also organize any other client account information for the conversion.
- Form Kit Review: Through a partnership with the BD, we will train you and your staff on building out the required form kits within *Starting Point*, Docupace's forms repository
- Scanner setup: We will support your needs in setting your scanner(s) up for use in Docupace
- Training: Standard training will be provided to your staff on using Docupace
- Leverage Starting Point, Docupace's forms-filling solution, to pre-populate most of your client account and transfer paperwork from your client database:
 - The Broker Dealer will be providing the required packets based on Registration Type/Client Type
 - All client packets will be assigned to the advisor's new rep code – as provided by their new BD
 - Packages will be automatically created within Starting Point
 - Advisor will review/modify/update the data on the electronic forms within Starting Point
 - Advisor submits their termination letter and become a member of their new Broker Dealer
Docupace will then grant access for the data to the new Broker Dealer
 - With access to the packets now, the Broker Dealer prints the packages and mails them out to the advisor's clients
 - Typically, the advisor or Broker Dealer scan the completed packets back into Docupace leveraging Docupace's barcode technology to automatically route the documents to their correct location for secure SEC/FINRA approved storage