

WHAT IS DOCUPACE EPACS?

Docupace provides a FINRA/SEC compliant, *On Demand* paperless processing service for Financial Service firms. The service is the most comprehensive, straight-through processing platform on the market today. The system is driven by an integrated document management and workflow platform with electronic signatures, check processing, and forms processing pre-integrated to allow a firm to go completely paperless. Docupace helps Broker Dealers, RIAs, and Advisors achieve a completely paperless practice.

There are two distinct but interrelated components within the offering, Document Management and Workflow. In this section, we'll review the high level of both of these.

Comment [G3]: Suggest we show in parentheses what the acronym FINRA/SEC stands for.

Deleted: straight

Comment [G4]: Suggest we show in parentheses what the acronym RIA stands for. I looked it up on the web and it showed 176 definitions.

Deleted:

Deleted:

WHAT IS DOCUMENT MANAGEMENT?

In order to better understand what Docupace can do for you, it helps to understand basic document management features and functions.

A Document Management System (DMS) is a system used to track and store electronic documents and/or images of paper documents. The term has some overlap with the concepts of Content Management Systems and is often viewed as a component of Enterprise Content Management Systems (ECM) and related to Digital Asset Management, Document Imaging, Workflow Systems, and Records Management Systems.

Document management systems commonly provide storage, versioning, metadata, security, and indexing and retrieval capabilities.

Deleted: imaging

Deleted: systems

Deleted: s

Deleted: as well as

WHAT IS WORKFLOW?

There are different types of workflow as it relates to document management. Manual workflow requires a user to view the document and decide who m to send it to. Rules-based workflow allows an administrator to create a rule that dictates the flow of the document through an organization. For example in a BD, a new account opening request first must go through a supervisory review/approval process and then is routed to the back office for further processing. Dynamic rules allow for branches to be created in a workflow process. A simple example would be if a document is not filled out correctly, it follows different routes through the organization since it has been sent to the NIGO (Not In Good Order) flow.

Comment [G5]: You had this underlined. The convention is "underlining should not be used." Use either italics or bold. I chose italics over bold but you can decide on the style preference.

Formatted: Font: Italic, No underline

Formatted: Font: Italic, No underline

Comment [G6]: What does BD stand for? You use it throughout the manual. Usually in the first use of an acronym, the letters are defined. See NIGO four lines down.

Deleted: :

Deleted: f

Deleted: instance

Deleted: is

BENEFITS OF USING DOCUPACE

The key benefits of using Docupace include:

- Saving Space.
- Saving Time.
- Compliance.
- Disaster Recovery.
- Saving Money.
- Process Efficiency.

As a Docupace user, you have full access to all your documents from anywhere with just an internet connection and a browser. Your documents are secure and always available to you at the same time. And, even if you have thousands of documents stored in Docupace, it is quick and easy to access any one of them via predefined searches and other search criteria.

Deleted: -