

## Docupace Trade Surveillance & Compliance Solution

# Smarter Surveillance. Proactive Compliance. Always Audit-Ready.

### Why Choose Docupace?

Docupace offers a Trade Surveillance and Compliance solution designed for financial professionals. Simplify compliance management, mitigate regulatory risks, and keep your firm audit-ready with tools built to enhance efficiency, accuracy, and control.

### Core Features



#### Trade Execution and Post-Trade Compliance Support

- Configurable, rules-based alerts focus your team on high-risk transactions
- Trade execution and post-trade analysis ensure compliance at every stage



#### Automated Workflows for Compliance

- 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 Handling

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



#### Enhanced Data Security

- Industry-standard encryption, data masking, and role-based access controls ensure compliance with GDPR, CCPA, and other regulations

## Why Docupace Is the Trusted Choice for Surveillance and Compliance

1

### Flexible Rule Creation

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, High-Quality 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?

- **Supervisory Principals:** Reduce regulatory risks and increase oversight with tools designed to simplify compliance
- **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)



### Required Letters (e.g., 36-month mailings, suitability letters)



### Trade Flagging and Suitability Alerts



### Advisor Licensing and Registration Checks