



Kovack Securities: Docupace Technologies

KEITH HLASNY - DIRECTOR OF VENDOR TECHNOLOGY SOLUTIONS

What is Docupace?

The Docupace Platform is a suite of paperless tools designed to help you complete your work faster, more securely and with fewer errors.

- Paperless processing
- Document management
- Form CRS delivery

Docupace Team Contact Info

- ▶ Email Contact

docupacesupport@kovacksecurities.com

- ▶ Phone Contact

954-358-2862



Keith Hlasny, Director of Vendor Technology Solutions

Keith re-joined Kovack Securities in March 2017 as Director of Vendor Technology Solutions. His responsibilities include:

- ▶ Managing Kovack's 3rd party software vendor relationships
- ▶ Keith has over 20 years of financial industry experience. Prior to joining Kovack, Keith was the Director of Insurance and Commission Processing at Summit Brokerage Services in Boca Raton, FL, Commission processor and Albridge liaison at Kovack Securities in Ft. Lauderdale, FL, Relationship Manager at Depository Trust & Clearing Corporation (DTCC) in New York, and shareholder services rep at Lexington Management in Saddle Brook, NJ.
- ▶ Keith has a B.S. in Business Marketing from West Virginia University.
- ▶ Direct line: **954-670-8714**
- ▶ Email Address: khlasny@kovacksecurities.com



Regina Schumaker, Senior Software Support Specialist

Regina joined Kovack Advisors in November 2007 as an Executive Administrative Assistant. She became Advisor Relations Associate in 2008 and began providing IT Support in 2013.

- ▶ Her Software Support responsibilities include:
 - ▶ Acting as main contact, support and training for Docupace
 - ▶ Assisting Representatives with PC Software, such as Microsoft Office, Adobe Products, Scanning, etc.
 - ▶ Assisting Representatives with Email issues
 - ▶ Resetting Logins for InTouch 4.0, Folio, IWS and TD Ameritrade
 - ▶ Assisting Representatives with IWS and TD Ameritrade website issues
 - ▶ Answering questions about the CHOICE Advantage Platform (Folio), login troubleshooting, creating performance reports and technology issues
 - ▶ Providing support for Additional Technical Issues
- ▶ Prior to joining Kovack, Regina was the Manager for a Convention Services company for over 10 years, putting on Conventions and Shows for various associations.
- ▶ She attended Seminole State College of Florida and studied computers and dance.
- ▶ Direct Line: **954-670-0621**
- ▶ Email Address: regina@kovackadvisors.com



Mollie Stowe, Docupace Support Specialist

Mollie joined Kovack Securities in November 2014 as a Compliance Assistant and later became Registration and Licensing Coordinator. In February 2016 she worked New Accounts then later became Docupace Support in June 2016.

- ▶ Her responsibilities include:
 - ▶ Conducts initial trainings for Advisors, Assistants, and In house Staff
 - ▶ Handles follow-up trainings for Advisors and Assistants
- ▶ Prior to joining Kovack, Mollie interned for the New River Group at Morgan Stanley Smith Barney in Fort Lauderdale.
- ▶ Mollie has a Bachelor of Business Administration in Finance with a minor in Economics from The University of North Florida. She is pursuing her Master of Business Administration with a concentration in Finance from Nova Southeastern University.
- ▶ Mollie holds her Series 7. She is studying for the Series 66.
- ▶ Direct Line: **954-670-0611**
- ▶ Email Address: mollie@kovacksecurities.com



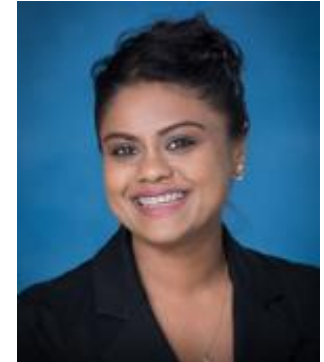
Natashaw Mangal, Docupace Support

Natashaw joined Kovack Securities in January 2016 as a New Accounts Processor. In May 2019, she moved to the Technology team for Docupace Support. Natashaw will also learn about other 3rd party technology software that advisors use to run their business, in order to assist in the support of those services. Her responsibilities include:

- ▶ Docupace Support
- ▶ 3rd Party Technology Software Support

- ▶ Natashaw has been in the financial services industry for 4 years. Prior to joining Kovack, Natashaw worked as a Sales Assistant.

- ▶ Direct Line: **954-670-8713**
- ▶ Email Address: nmangal@kovacksecurities.com



Hannah Dadisman, Docupace Support

Hannah Dadisman joined Kovack Securities in May 2019 as a New Accounts Processor. In June of 2020 she moved to the Technology team for Docupace Support. Her responsibilities include:

- ▶ Docupace Support
- ▶ 3rd Party Technology Software Support

- ▶ Prior to joining Kovack, Hannah worked as a Financial Advisor Assistant for Price Financial Services in Orlando, Florida.
- ▶ Hannah graduated from Florida Atlantic University with a Bachelor's Degree in Finance.

- ▶ Direct Line: **(954) 670-8712**
- ▶ Email Address: hdadisman@kovacksecurities.com



New Features & Updates

- CONNECT – new version Docupace
- eSignature processing
- Tracker BI Form CRS delivery (CONNECT)
- Forms library
- Redtail integration

Tracker BI Form CRS Delivery

- Regulation Best Interest (RegBI) – July 1, 2020
 - SEC Rule that requires broker-dealers to only recommend financial products that are in the clients best interest.
- Form CRS must be delivered to client prior to or at the time of recommendation to purchase a product or open any account.

Tracker BI

- Only available through new version Docupace
- Reps or assistants can complete the Tracker BI for the Form CRS delivery
- 3 methods of delivery
 - Mail
 - Electronically (email)
 - Personally delivered

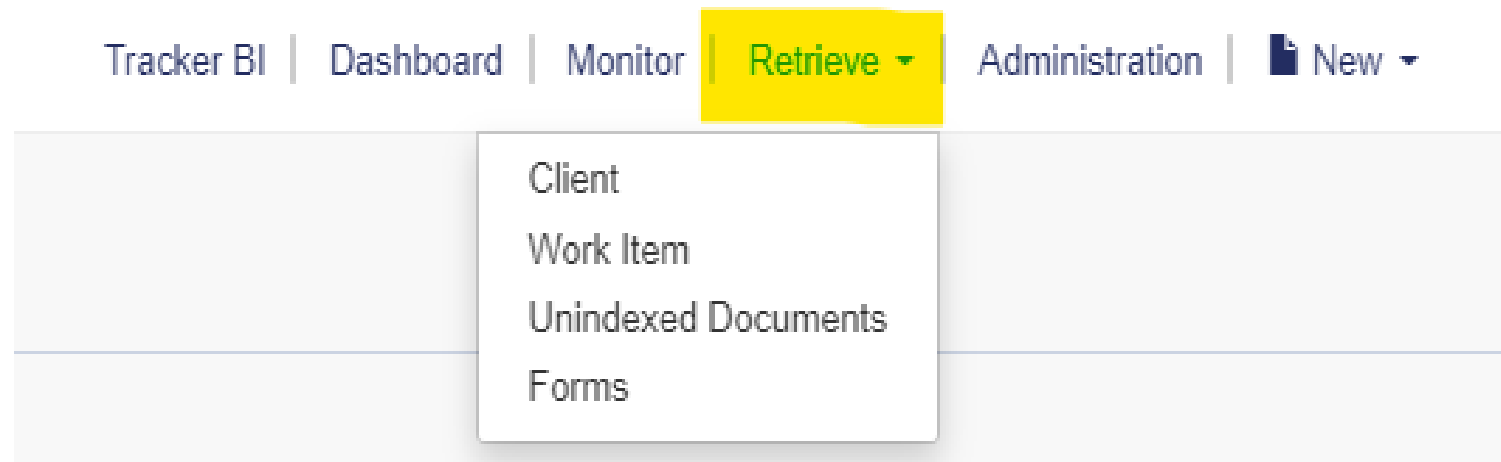
Tracker BI

LIVE DEMO...



Retrieve Function

The Retrieve function is a place to search for and retrieve records from the system. Records include clients, work items, documents and forms.



Retrieve Function

LIVE DEMO...



Redtail Integration

Redtail has a built-in integration with Docupace, so Redtail users can simply “click to send” a new client’s information into Docupace rather than having to retype the data. This “data push” will create a new Client Folder in Docupace.



Redtail Integration

LIVE DEMO....



eSign Email

- Client receives identity verification email

Client must select the link in their email to open the browser with instructions to proceed

Kovack Securities, Inc. Online Signatures

Dear JOHN DOE,

Your documents are available for viewing/printing/signing

To access your document, click here:

<https://webtest.signix.biz/enter.jsp?m=102&i=YRe0SZFpk9n3IoddXvnQ7C>

If you have any questions, please contact your representative at mollie@kovacksecurities.com.

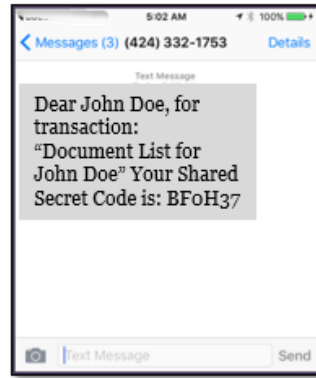
This communication, along with any attachments, should be viewed only by the intended recipient and may contain legally privileged and confidential information. If you are not the intended recipient, you are hereby notified that any dissemination, distribution, disclosing of contents to others, or copying of any information contained in or attached to this communication is strictly prohibited. If you received this message in error, you are bound by confidentiality and should notify sender immediately by replying to the sender. Nothing contained herein, or in any attachments, shall be deemed professional advice. Email is subject to monitoring, is retained and may be produced to regulatory authorities or others with a legal right to the information. Electronic mail sent over the Internet is not secure and could be intercepted by a third party. For your protection, avoid sending identifying information, including but not limited to SSN/Account numbers. We do not guarantee that this email and any attachments are virus-free and accept no liability for any damages sustained as a result of viruses. Recipient is responsible for checking and deleting viruses. We accept no liability for the content of this email, or for the consequences of any actions taken on the basis of the information provided herein.

- Your client will receive an email from noreply@signixmail.com with a link to access the documents to view/print/sign

eSign Text Message

- Once the client clicks the link, then agree to the legal consent (after reading the legal consent) and enter in a “Secret Code” sent to their mobile device.

The client will receive a text message with the shared secret code to add in the instructions web page
Note, secret code is sent after Accept is selected



- They enter in the code, they will have to create a password.
- Once the client is logged in, they review the documents, sign, and acknowledge
- After they have acknowledged the signature, they must enter in their password again.

You've been asked to review and sign documents online. It's easy!

To get started, you need to agree to receive electronic documents using the electronic signature service under the terms of the E-Sign Legal Consent by choosing **Accept** below. This will confirm that you are able to access all of the documents provided to you in electronic form and you agree to be bound by the terms and conditions of use.

We've just sent a text message to your mobile phone (330-554-6434) to help verify your identity. Once you receive it, please enter the six digit code in the space below.

Please be patient, as text messages can sometimes take more than 10 seconds to reach your phone. If you don't receive the message within 30 seconds, please press **Resend Code** below and we will send you a new message.

Click **Next** to continue!

Agree to Legal Consent? Accept Decline

Enter the Secret Code received on your mobile device (case insensitive)

Didn't receive the first Code? Click button above to receive a new Secret Code.

eSign Password

- Client will have to create a password

Client must create a signing password

Client can select a signature font or draw their own signature

First, choose a Signing Password. This password will protect your electronic signature and let you access your signed documents after you've finished. Then, choose the style of your signature and initial from the options below.

Please secret t Please enter a Signing Password of 8-12 characters with at least 1 lowercase letter, 1 uppercase letter, 1 number, and 1 special character.

Select your Signing Password

.....

Confirm your Signing Password

.....

Choose a signature font Draw your own signature

Signature Font

GIULIA SERGI GIULIA SERGI *GIULIA SERGI*

GIULIA SERGI GIULIA SERGI *GIULIA SERGI*

On to View / Sign

- Once the client is logged in, they review the documents, sign, and acknowledge
- After they have acknowledged the signature, they must enter in their password again

eSign Advisor Process

- You, the advisor will receive an email from noreply@signixmail.com with a link to access the documents to view/print/sign once the client has signed
- Please follow the same steps as the client in the previous slides
- After all parties have signed, Signix will send a “completed” email to both the client and advisor
- You can then locate your completed WI in the Docupace “Monitor” tab
- Notice how this item has sent automatically to the home office for review

Account Services for Existing Accounts

- Change of Address
- Client Profile Update Form
- Change of Ownership

eSignature Processing

- Must be a Docupace user and completed eSignature training
- Rep must sign eSign attestation
- eSign vendor is SIGNiX
- Client must have email address and cell phone
- Forms must be fully completed before sending to eSign
 - Client cannot complete forms through eSign
- Pershing, NFS, Direct Business eSign eligible
 - Should confirm with direct business companies before using eSign

Docupace Technologies

QUESTIONS?