



# Kovack Securities: Docupace Technologies

KEITH HLASNY - DIRECTOR OF VENDOR TECHNOLOGY SOLUTIONS

# Agenda

- ▶ Docupace team members
- ▶ New check blotter process
- ▶ Account Services workflows for existing accounts
- ▶ eSignature processing
- ▶ Tracker BI (Form CRS delivery) review

# Docupace Team

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# Docupace Team Contact Info

- ▶ Email Contact

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- ▶ Phone Contact

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# Check Blotter

- Effective 1/1/23 all check blotters through Docupace
- No additional setup needed
- Blotter check into Docupace as soon as you receive it
- Scan both sides of check
- Does not transmit image to clearing firms

Check Blotter

***LIVE DEMO...***



# Account Services for Existing Accounts

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

# Account Services

***LIVE DEMO...***





# 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

# 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=YRe0SZFpk9n3loddXvnQ7C>

If you have any questions, please contact your representative at [mollie@kovacksecurities.com](mailto:mollie@kovacksecurities.com).

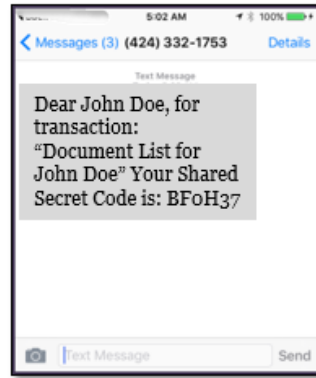
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- Your client will receive an email from [noreply@signixmail.com](mailto:noreply@signixmail.com) with a link to access the documents to view/print/sign

# 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

<input type="radio"/> <i>GIULIA SERGI</i>	<input type="radio"/> GIULIA SERGI	<input type="radio"/> <i>GIULIA SERGI</i>
<input type="radio"/> GIULIA SERGI	<input type="radio"/> GIULIA SERGI	<input checked="" type="radio"/> <i>GIULIA SERGI</i>

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](mailto: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

# 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

- 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...***





Docupace Technologies

**QUESTIONS?**