

# DocuSign for Wealth Management



## INDUSTRY BRIEF

Your firm needs to be easy to do business with, both for customers and brokers. Moving beyond paper to a fully integrated electronic solution can take you a long way. Join leading wealth management firms who choose DocuSign to automate document signatures, enable straight through processing and transform client experiences.

### **Accelerate Time to Assets Under Management**

DocuSign reduces the time required to bring assets under management. You can get clients' signatures on investment documents in minutes instead of days, and unlike paper documents, DocuSign's guided, error-proof signing experience means you'll drive NIGO rates to 0% with accurate, complete documents every time. You'll spend less time tracking down signatures and documents and more time delighting clients, advisors and broker/dealers.

### **Reduce Operating Costs**

DocuSign saves you significant staff time because documents get sent for signature instantly along with automated reminders so clients finish the signing process faster. If clients need to update account information, such as a change of beneficiary form, the system captures all required instructions. Plus, you — and your brokers — can cut costs for paper, ink, faxing, couriers and overnight shipping dramatically.

### **Eliminate Incomplete Forms with Straight-through Processing**

DocuSign goes beyond simply collecting an electronic signature. Documents, data and signatures go straight into your back-end systems, eliminating scanning or manual re-keying, and incomplete forms are sent back to the signer, so every form is 100% complete. Data fields can be collected, captured and verified at the point of signature, and loaded directly into your system for downstream use.

### **Improve Accuracy and Data Security**

DocuSign helps wealth management firms meet compliance requirements by controlling the signing process and ensuring all information remains secure. A complete and legally-binding court admissible audit trail accompanies each document. Plus DocuSign has achieved the highest level of security certification, ISO/IEC 27001:2005, and is PCI compliant and TRUSTe certified.

*"Using technology such as eSignature in a high-tech, high-touch manner can help advisors unlock the opportunity for more personal and comprehensive relationships with their clients."*

Ed O'Brien  
Senior Vice President Fidelity Institutional  
Wealth Services



## Delight Clients and Brokers

DocuSign is accessible on all devices, including PCs, smartphones and tablets. It supports iOS, Android, and Windows mobile devices. Clients get a faster, more convenient and easier way to interact with you and your brokers, no matter where they are. You and your brokers will have more satisfied clients, more referrals, and more time to focus on building the business.



## Verify Who is Signing

Knowing that the signer is truly who you intended is critical to your business. DocuSign offers the largest number of authentication options including a one-time password, knowledge based and phone authentication. Each option provides an increasing level of assurance so you can use the option most appropriate to the transaction type.

## Accepted by Downstream Partners

Electronic signatures have been legally accepted for over a decade, but to work in your business, they also need to be accepted by your downstream data houses and other partners. DocuSign is accepted by 3 of the top 4 custodians (TDA, Fidelity, and Pershing Advisor Solutions) and the top 2 clearing firms (Pershing and National Financial) so you can be sure the platform meets their needs as well.

## Wealth Management Use Cases

With DocuSign you can automate a wide variety of processes, including:

- New account opening
- New advisor onboarding
- IRA and 401k rollovers
- Transfer of assets
- Account change/maintenance forms
- Change of address/beneficiary forms
- Contracts
- Purchase orders
- New employee paperwork
- Expense reporting
- Non-disclosure agreements
- IT asset tracking

## Sample Customers



## For More Information

Contact your account executive to learn more about how DocuSign can help automate key document processes, speed time to assets under management, and transform your customer experience.

### About DocuSign

DocuSign® is the global standard for electronic signature®. DocuSign accelerates transactions to increase speed to results, reduce costs, and delight customers with the easiest, fastest, most secure global network for sending, signing, tracking, and storing documents in the cloud.