



**doxim**

TRANSFORMING CUSTOMER EXPERIENCE

# Doxim Account Transfers

*Automate & Accelerate*



# AUTOMATE & ACCELERATE ACCOUNT TRANSFERS

## Key Benefits

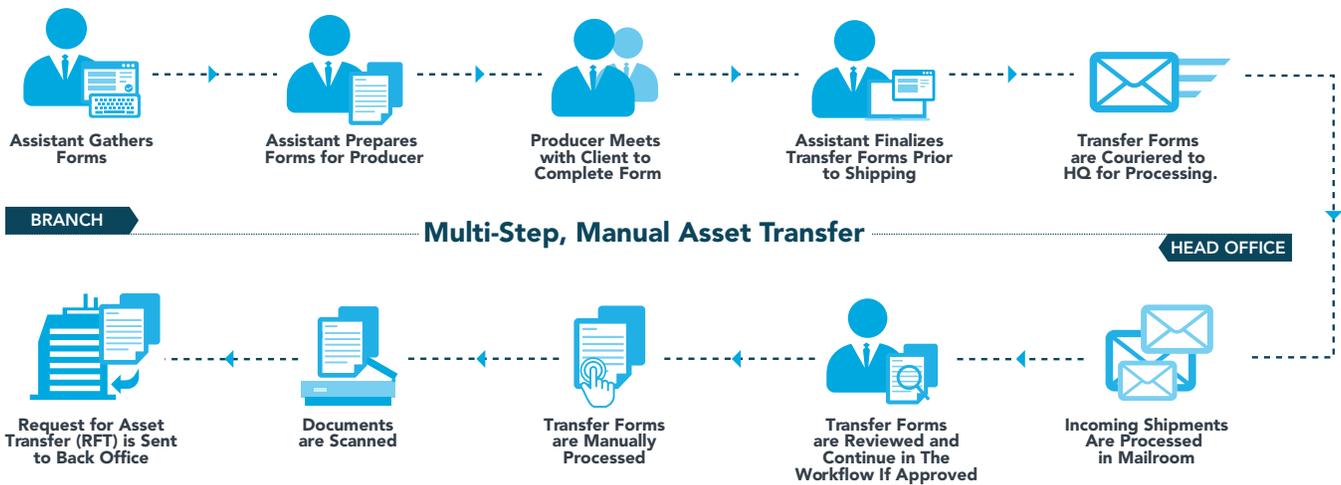
- Improve the client experience with increased visibility into the transfer process
- Accelerate the transfer process and ensure transfers complete within the 10 day window permitted by regulations
- Monitor asset transfers in realtime as they move through a customized transfer workflow
- Increase accuracy and accountability and eliminate costly errors and rework

Asset transfers traditionally consist of an array of manual processes that pass through many departments over multiple days. Many firms maintained a large staff to handle the complexities of moving assets. Clients are often left in the dark as to the status of their assets during the transfer. Firms using Doxim Account Transfer automate their asset transfer process, which helps improve the client experience while speeding transfers, reducing costs, and maintaining compliance with governmental regulations.

In many circumstances, asset transfers must be executed within a 10 day time period, leaving no margin for error. Manual asset transfers also require the use of governmentally mandated forms and can be resulting complicated, multi-step processes.

Using Doxim Account Transfer to facilitate the asset transfer process you can reduce the time needed to create and fund transferred accounts while mitigating risk and complying with regulatory requirements. A system of complex business rules and workflows behind the scenes ensures that your firm communicates appropriately with the relinquishing firm during each step of the transfer process.

On the front end, our flexible platform will let you use either simple but intelligent PDF forms or a full HTML questionnaire to gather data. Easy-to-use approval screens provide your staff with the information needed to facilitate the approval of the transfers, reducing the time they spend moving assets. Robust reports allow tracking asset transfers and maintaining compliance throughout the process.



## ELECTRONIC AND MANUAL TRANSFERS MADE EASY

Whether a firm uses an electronic asset transfer system for most transfers, or processes all transfers manually, Doxim Account Transfer can be used to streamline the transfer process and reduce error rates. For ATON or ACATS users, Doxim Account Transfer can be integrated into the back office to facilitate transfers by ensuring that the data provided to the ATON/ACATS system is complete and in good order. For firms that handle transfers on paper, Doxim Account Transfer can be used to create the paperwork for transfers, preventing errors and significantly reducing costs. And regardless of how an organization initiates the transfer process, Doxim Account Transfer's capabilities can be used to create a transfer workflow which ensures the transfer is completed successfully and the client is kept informed.

## HOW IT WORKS

When transferring client assets from one institution to another, accuracy is a key driver as the new wealth management firm must provide documents that meet the relinquishing institution's standards in order to have the funds transferred. An error or omission could significantly delay a transfer and subsequent funding.

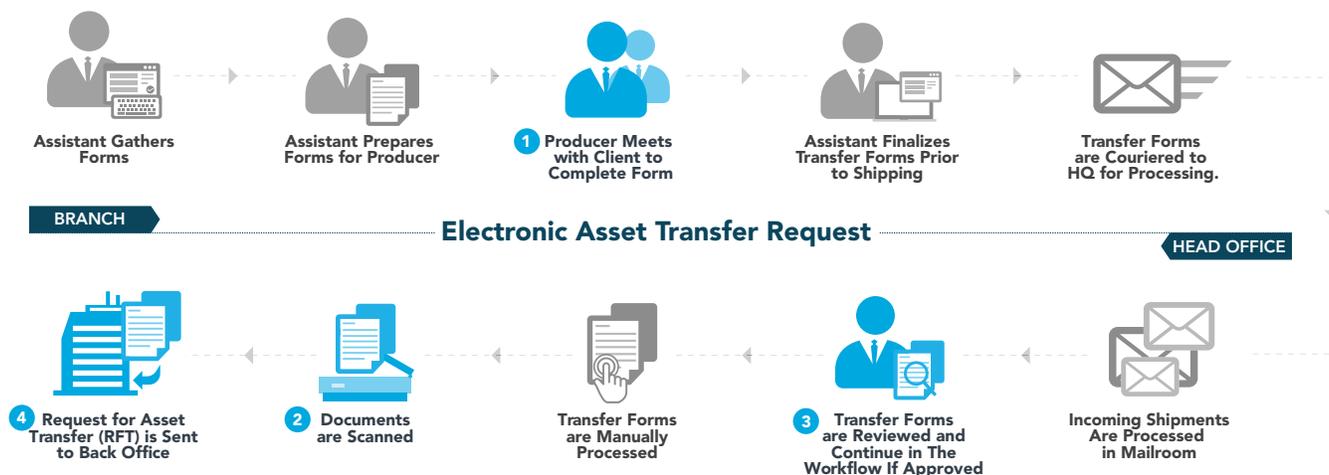
Doxim Account Transfer allows users to enter asset transfer details into a system which does a comprehensive NIGO check, ensuring that all mandatory fields are filled in before the application can be submitted. Doxim Account Transfer also provides users with the ability to

check on the status of an asset transfer at any time during the process. Errors can be identified and remedied much faster when transfers are completed electronically. Modifications can be resubmitted with ease, reducing time spent on rework.

Once the necessary information is gathered, an automated transfer process passes the information through the online platform allowing the account to be transferred in significantly less time than before, by avoiding paper handling delays. The asset transfer information flows through a unique automated workflow which ensures that multiple levels of approval and risk assessment are completed in a timely and traceable manner.

At the completion of this process, the request for transfer (RTF) is sent through the back office to the relinquishing institution either on paper in the case of manual transfers, or via the ATON/ACATS portal if both institutions use the ATON/ACATS system. The RTF is returned by the relinquishing firm with a list of assets to be transferred. Once this list is approved by the receiving institution, the assets are transferred.

Throughout the process, interaction with the clients whose assets are being transferred is facilitated by the use of pre-existing e-mail and letter templates which allow for branded and customized client communication at the touch of a button. Advisors can monitor the progress of the asset transfers through their personalized dashboards, ensuring that they are able to answer client inquiries immediately.



### IMPROVE YOUR TRANSFER PROCESS WITH DOXIM ACCOUNT TRANSFER:

- **Accelerate asset transfers** by speeding the provision of accurate transfer data to ATON/ACATS or the preparation of manual transfer paperwork, and by preventing bottlenecks in the transfer process with an automated transfer workflow.
- **Provide exceptional customer service** by updating clients on account status via branded and customized client communications at the touch of a button.
- **Increase transparency and compliance** by giving each employee involved in the account transfer process a single portal where they can track, store, and view transfer information on-the-fly and run reports for compliance and risk assessment.



Talk to the Doxim team about speeding and streamlining your account transfers

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- ▶ Serving over 1,500 financial institutions across North America
- ▶ Recognized as one of the fastest-growing technology companies in the market for the past 9 years