

# SMART REGISTRATION<sup>SM</sup>

Automate your licensing and registration management and reduce risk.



## Need a Better Way to Manage Credentials? We Can Help.

How many different licenses and registrations are you currently managing for your firm's registered representatives? If you're responsible for the credentials of your firm, you're probably juggling dozens of deadlines between licenses, multiple state registrations, continuing education and more.

When you're managing these requirements on a spreadsheet or via antiquated technology, it can be easy to miss a filing deadline or overlook a requirement, both of which can come back to haunt your firm via fines and increased exam frequency.

Smart Registration<sup>SM</sup> automates the licensing and registration management process with:

- A centralized tracking system for representatives' credentials and registration deadlines. Smart Registration<sup>SM</sup> manages and tracks licenses, registrations, deadlines, expirations, continuing education credits, organizational hierarchies, and more.
- Automated reminders, so you can reduce time spent on manual processes and avoid fines/delays from late or missing filings.
- Review data at the rep level and track historical hierarchy with greater efficiency.
- Single-step migration process to bring the data from your current system into Smart Registration<sup>SM</sup>.
- Direct connection to FINRA for CRD filings.
- 100% 17(a)-4 books and records compliance.

Reduce the time and touches spent on managing registrations. Give yourself additional piece of mind regarding filing deadlines and processes. Let Smart Registration<sup>SM</sup> power your credential management and make your processes more efficient, so you can focus on compliance efforts that give your firm a strategic advantage.

## To learn more, contact us today.