



Broker-Dealer Registration

Improving Transparency And Efficiency Across Your Business

The license and registration process can be complex and time-consuming. Potential delays and unknowns can prevent registered representatives from completing their core responsibilities: **providing sound advice to clients and generating revenue for the firm.**

StarCompliance Enterprise (STAR) has eliminated the guesswork for employees, supervisors, compliance teams, and HR by offering a self-service solution that streamlines essential processes and provides a centralized platform for firms to track representatives' progress.

Zero Dollars

That's the amount of money your registered representatives generate for as long as it takes them to complete their L&R process.



Key Benefits

- Direct integration with FINRA*.
- Utilize employee CRD numbers to link profiles and critical data.
- Centralized monitoring to track requests and tasks efficiently.
- Clear visibility across multiple registered rep processes.
- Insights and reporting for more timely decision-making.



Star's Broker-Dealer Registration Solution Addresses the Following Challenges:

> Employee Onboarding

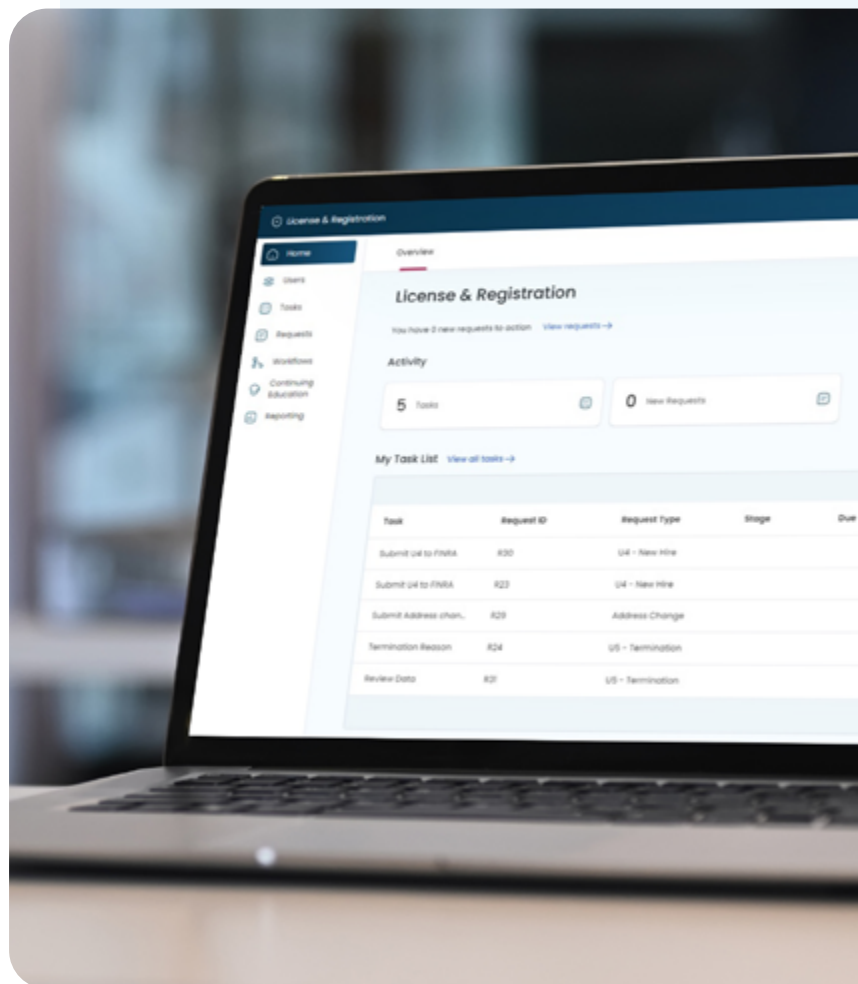
- Initiate key onboarding and registration processes to streamline onboarding.
- With a direct connection to the firm's HR system, workflows can alert Compliance of leavers, joiners, and movers, ensuring the most up-to-date employment status.
- Automatically trigger the U4 process with new employees using HR data and STAR to ensure timely submission. Track U4 status progress from within STAR through our direct FINRA feed.

> Exams & Continuing Education

- Stay on top of exam window openings and hold new reps accountable for completing exams on time.
- Obtain direct FINRA feeds for reps who need to complete yearly mandated Regulatory Element CE.
- Create automated alerts identifying employees who need to schedule their exam or complete Regulatory CE requirements.

> Firm-Wide Transparency

- Gain clarity around multistep license and registration workflows, including onboarding and offboarding employees.
- Give Supervisory Principals greater visibility across their teams.
- Surface actionable datapoints you can share with internal stakeholders across the organization to further strengthen a culture of compliance. Combine FINRA data — such as current licensed reps, reps scheduled for exams, and reps with outstanding CE responsibilities — existing HR or STAR data for a more comprehensive view of your employee population and their regulatory history.



About StarCompliance

StarCompliance is the world's leading provider of employee compliance technology solutions. Trusted for over 25 years by millions of users in 114 countries, StarCompliance Enterprise provides a user-friendly interface that delivers the data, technology, and actionable insights needed to proactively mitigate risk, monitor conflicts globally, and support complex whistleblowing regulations. Visit www.starcompliance.com to discover the comprehensive security and unparalleled assurance you need to build a culture of compliance today.



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