Sales Compliance Review

Automate and streamline quality assurance processes for the products and services sold by your firm.

In financial services, firms bear the responsibility of ensuring sales advisers uphold fair, honest, and compliant sales practices. That means consistently reviewing both active and closed sales across the business. Star's Sales Compliance Review solution automates and streamlines this oversight—enabling real-time monitoring, surfacing high-risk activity early, and reinforcing client trust while reducing regulatory exposure.

Why choose Star?

> **Regulatory Strength**
> Remain compliant with regulations designed to protect consumers, building confidence with oversight and audit trails.

> **Operational Efficiency**
> Reduce manual case selection for review, document findings in one system of record, and establish consistent review practices.

> **Flexible & Configurable**
> Design a review process that meets firm expectations with a solution that easily adapts to various business models and preferences.

Core features that drive results:

> **Automated Risk Analysis**

- Conduct reviews on both pre-sale and post-sale cases. Cases can be checked against the rules engine in real-time or on a scheduled basis.

- STAR supports rule-based case review and percentage-based case sampling—and both configurations can run simultaneously.

- Sales cases are automatically imported and then evaluated by a configurable risk engine to determine the case's level of risk. Flagged cases are escalated to Compliance with a clear breakdown of the reasons for review.

Configurable Risk Thresholds

- Risk engine configuration is driven by the risk appetite of the firm. Several case properties—including individual sales adviser, product, and case type—can be used to establish a multi-factor risk score that drives next steps.

- Establish rules based on case properties and sales adviser factors to automate case sampling and ensure a comprehensive review of firm-wide sales activities.

- Conduct retrospective checks for regulatory reviews or thematic investigations that may be instigated by regulators.

Streamlined Review Workflows

- Ensure balanced workload distribution across QA teams with full control over case allocation.

- Dynamic review checklists populate only relevant QA tasks based on case type and product—hiding irrelevant tasks from view.

- Conduct active and retrospective reviews against QA'd cases to ensure quality control standards, best practices and QA consistency.

Improved Collaboration and Outcomes

- One solution for administrators, QA teams, and sales advisers to collaborate, communicate, and document the sales case review process.

- Reviewers submit in-app feedback and pass/fail statuses, giving sales advisers clear visibility into outcomes and required next steps.

- Remediation occurs in-app, with all remedial actions tracked and documented to evidence resolution.

Elevating Sales Standards

Sales Compliance Review streamlines the manual, time-consuming task of monitoring sales adviser activity—bringing automation, consistency, and control to your QA process. By embedding STAR into this essential daily workflow, firms can maintain high standards, reduce review gaps, and ensure every customer interaction delivers fair outcomes and aligns with regulatory expectations.

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STAR COMPLIANCE