Compliance Management System

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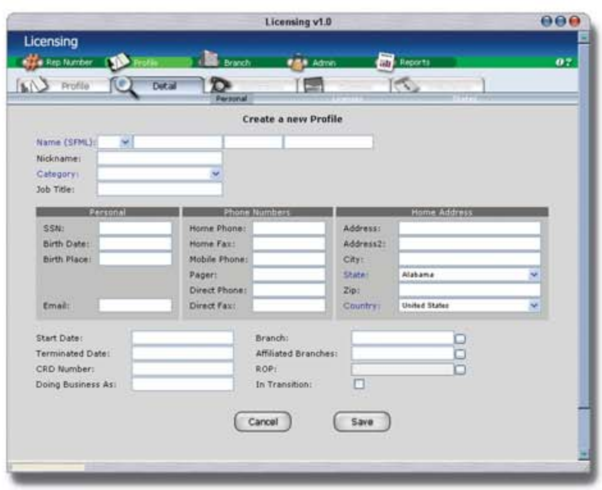
Keeping up with regulatory requirements continues to be a hard challenge and requires a significant resource commitment. Being proactive with your firm's compliance practices is extremely important. The strategy to better managing your firm's regulatory requirements is creating automation in key areas which will help to free up valuable compliance department resources. Implementing our Compliance Management software system will increase your staff's efficiency and serve as a valuable tool for upholding your firm's solid compliance practices.

This system keeps track of all of your Registered Reps, Registered Sales Assistants, Non-Registered Assistants, DRPs, Branches, OSJs, Satellite Branches, Rep Numbers, etc. It also monitors all your rep's licenses and renewals. You can import data from CRD, State Departments of Insurance and multiple broker-dealer clearing firms. Our Financial Licensing System is customizable for any compliance department with full-featured reporting and automation. The system is flexible enough to track anything you wish about your Reps (like fingerprints, U-4s, outside business, personal information, or practically anything).

Contact us today to arrange for a free consultation and demonstration.

- Track your firm’s securities and insurance licensing.
- Manage registeres sales reps, registered sales assistants, non-registered sales assistants, and more.
- Manage multiple broker/dealers and/or multiple insurance agencies.
- Monitor renewals and other dated requirements.
- Keep track of continuing educational requirements.
- Completely customizable and unlimited data fields.
- Full-featured reporting platform and letter generation.
- Customized user-friendly screens.
- Export data or Import information from CRD, State Departments of Insurance, or any file format.
- Core BackOffice Imaging System ready! Access secured scanned documents like contracts or official records within the Compliance Management System.



To learn more about how Core BackOffice can help your business, call Cliff Haskins at 858.254.5540. Fax: 619-232-2185
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