REGISTRATION MANAGEMENT

Automate your licensing and registration management process while reducing risk.

RED OAK Compliance Solutions

Inc. 5000

REGTECH 100

Build Better, More Efficient Licensing and Registration Management Processes

How many different licenses and registrations are you currently managing for your firm's registered representatives? When you're managing licenses, multiple state registrations, continuing education, and more on a spreadsheet or via antiquated technology, it can be easy to overlook a filing deadline requirement. It can also come back to haunt your firm via fines and increased exam frequency.

Red Oak's Registration Management software automates the licensing and registration management process with:

A **centralized tracking system** for representatives' credentials and registration deadlines.

- Manage and track licenses, registrations, deadlines, expirations, continuing education credits, organizational hierarchies, and more.
- Create custom, searchable fields to manage the most critical information to your firm and develop custom reports.
- Configure forms and workflows that empower representatives to request amendments to their U4s for address changes, name changes, additional professional designations, and more. Then, route them through the Red Oak workflow engine.
- Support multiple broker-dealers within a firm with the same installation—no need for separate software versions, licenses, or setups.

Configurable automated reminders so you can reduce time spent on manual processes and avoid fines/delays from late or missing filings.

- Use our out-of-the-box reminders to set dates and create notifications based on specific fields and roles. You also have the option to customize your own based on your firm’s needs.
- Create date-based custom fields so you can send personalized and customized notifications to employees depending on their roles and responsibilities. Individual contributors can receive an action item message regarding a project while their supervisors receive an update/reminder.

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

Review data at the rep level and track historical hierarchy with greater efficiency. Build or import hierarchies, create graphical representations and maintain a historical record of supervisory structure and approval chains.

- Quickly look back at the data and get a snapshot of the organizational hierarchy, supervisory structure, and decision-makers for each change/update per registered representative.
- Complete bulk updates to reassign supervisors when organizational changes are made, rather than completing hundreds or thousands of manual changes.

Use our **single-step migration process** to easily bring data from your current system into Red Oak.

- Import specific fields or make mass updates with the click of a mouse instead of spending hours completing manual data updates.
- Through our direct integration with FINRA, you can seamlessly upload and access real-time data without spending extra time manually migrating information between systems.
- Our powerful search and reporting functions will simplify your review process with pre-designed reports and empower you to spot deficiencies more quickly.
- 100% 17(a)-4 books and records compliant.

Reduce the time and touches spent on managing registrations. Give yourself additional peace of mind regarding filing deadlines and processes. Let Red Oak's Registration Management solution power your credential management process so you can focus on compliance efforts that give your firm a strategic advantage.

Ready for smarter compliance processes? Contact us today.

(888) 302-4594
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