



*Regulatory Intelligence*

*Compliance Solutions, Inc.*

## Regulatory Change Management System



- **Manage branch office inspections from start to finish**
- **Perform more thorough and efficient audits based on up-to-date procedures, laws, rules and regulatory notices**

## PRODUCT OVERVIEW

RICS Regulatory Change Management System (RCMS) is a comprehensive audit management solution for managing and executing all aspects of broker-dealer branch office audit inspections.

## IMPLEMENTING RICS BD

Implementing RICS BD couldn't be easier. We provide assistance with your implementation to ensure that RICS is successfully launched within your organization.

- Full hosting available
- Function can be outsourced to Strategic Partner: **Bates Group LLC**
- Will be up and running within a week

## RICS FEATURES

RICS Broker Dealer platform is currently being utilized to train Regulators .

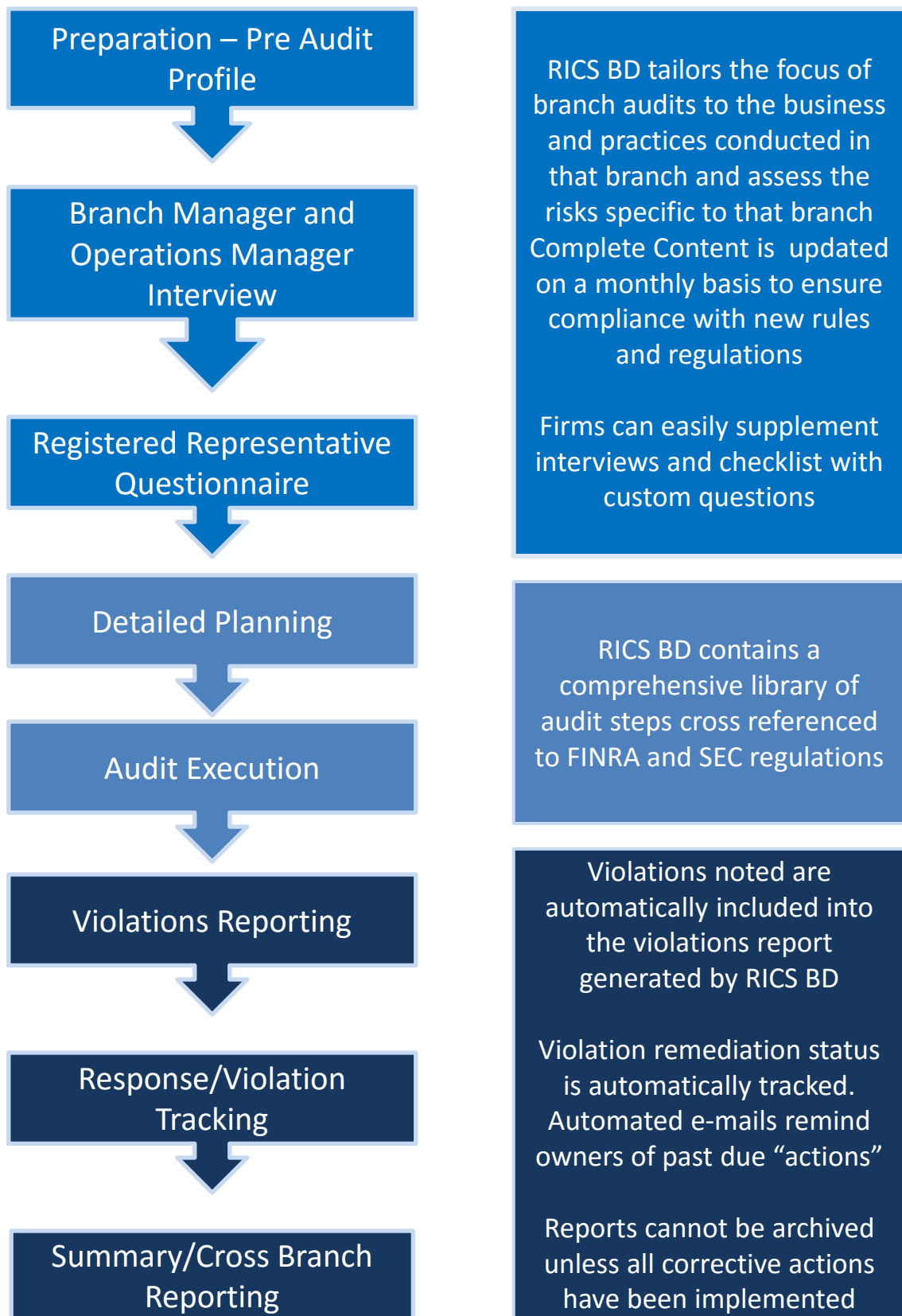
### Best in class features include:

- Full audit trail
- Automated violation report generation
- Reporting and trend analysis
- Comprehensive management dashboards
- Supports concurrent user access
- Simultaneous and Remote Review
- Dynamic Content
- Ease of use

## UNIQUE BENEFITS OF RICS BROKER DEALER

- Developer currently training Securities and Exchange Commission Examination Staff
- Completely manages FINRA Rule 3110 branch office inspections
- Contains up to date Rules and Regulatory Notices from regulatory bodies including: SEC, FINRA, NASD and the NYSE
- Rules and Regulations are cross referenced to detailed audit steps required to determine applicable compliance
- Includes pre-configured web based Registered Representative questionnaires with automated summary reporting into the audit file
- Bundled with Branch Manager and Operations Manager interviews
- Provides easy framework to upload your firm's policies and procedures
- Embedded content doubles as a comprehensive training tool

# RICS BD guides you through the complete branch audit process





Dashboard » Assigned Audits » Boston » Perform Audit

## Boston

Audit Sections ▾

Please answer the following questions:

### **PART A** BRANCH ADMINISTRATION/REGISTRATION

VIOLATIONS NOTES ATTACHMENTS

#### QUESTION

- A-1** Is the "Branch Office Manager" (BOM) or Supervisory Personnel in charge of the office appropriately qualified and registered as a "Qualified" person?
- A-2** Are designated supervisory personnel appropriately qualified and registered as "Qualified" person(s)?
- A-3** Did the operations manager register as an operations professional and pass the operations professional qualification examination (if applicable)?
- A-4** Are Registered Representatives ("RRs") appropriately qualified and registered?
- A-5** Does the branch maintain a "Delegation of Duties Memo" which includes a listing by name or title of all employees at the office who can explain the records maintained at the branch office?
- A-6** Is a copy of the firm's Written Supervisory Procedures maintained at the branch office?
- A-7** Has the branch office had an Internal Audit or Inspection in the appropriate time frame pursuant to FINRA Rule 3110(c)?
- A-8** If this is a non-branch location and the inspection cycle established is longer than three year; has the firm/branch documented in its written supervisory and inspection procedures the factors used in determining that a longer periodic inspection cycle is appropriate?
- A-9** Has the branch office had any Regulatory Examinations since its last Audit?

YES	NO	N/A	INFO	
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- Introduction 0
- Rule Summary 0
- Audit Procedure 0
- Workpapers / Exhibits 0
- Authoritative Guidance 0
- Firm Policy 0



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