



Regulatory Intelligence

Compliance Solutions, Inc.

BRANCH AUDIT PLATFORM FEATURES & CAPABILITIES





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What Makes RICS
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A Detailed Look at RICS
in action

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Moving Forward

Roadmap & Timelines
Let's Build YOUR Solution



1

RICS General Overview

An Overhead Look at the RICS Branch Audit Platform, Technology, Features & Benefits

- Streamlined & Efficient UI & Flow
- Expert Guidance & Summary Content
- API & 3rd Party Integrations
- Flexible & Customizable

RICS PLATFORM FEATURES



RICS tailors each audit to the business & practices conducted in each branch to assess risks specific to that branch.

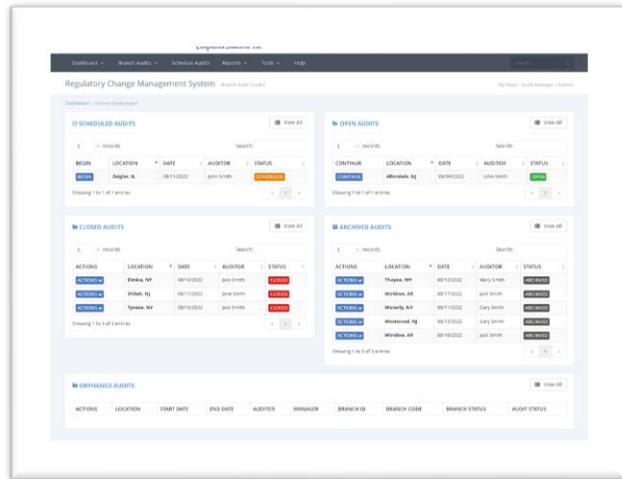
Content is updated to ensure compliance with new rules and regulations.

RICS contains a comprehensive library of audit steps cross referenced with FINRA and SEC regulations.

Our clients may elect to use their own content entirely.

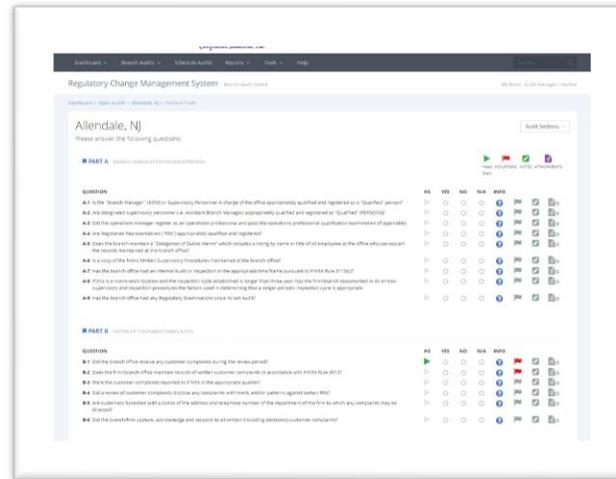
RICS PLATFORM OVERVIEW

The RICS Platform Offers Users an Intelligent System for Collecting & Analyzing Branch Data, Communication during the Audit Process, and Risk Analysis Based on the Audit Results



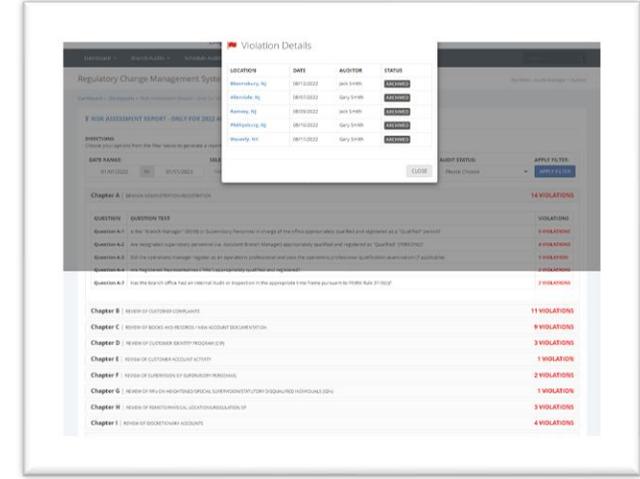
DASHBOARD

Quick & Easy Access to Branch Audits in Various States of Completion



STREAMLINED

Intuitive User Interface Provides Users with Tools & Resources in a Click



RISK ANALYSIS

Intelligent Deep Dive into Audit Results Measures Exposure to Risk & Violations

Regulatory Change Management System Branch Audit Toolkit

My Roles: Audit Manager / Auditor

Dashboard • Donna Sardanopoli

🔍 SCHEDULED AUDITS View All

5 records Search:

BEGIN	LOCATION	DATE	AUDITOR	STATUS
BEGIN	Zeigler, IL	08/11/2022	John Smith	SCHEDULED

Showing 1 to 1 of 1 entries < 1 >

🔍 OPEN AUDITS View All

5 records Search:

CONTINUE	LOCATION	DATE	AUDITOR	STATUS
CONTINUE	Allendale, NJ	08/09/2022	John Smith	OPEN

Showing 1 to 1 of 1 entries < 1 >

🔍 CLOSED AUDITS View All

5 records Search:

ACTIONS	LOCATION	DATE	AUDITOR	STATUS
ACTIONS	Elmira, NY	08/10/2022	Jack Smith	CLOSED
ACTIONS	Shiloh, NJ	08/17/2022	Jane Smith	CLOSED
ACTIONS	Tyrone, NY	08/16/2022	Jack Smith	CLOSED

Showing 1 to 3 of 3 entries < 1 >

🔍 ARCHIVED AUDITS View All

5 records Search:

ACTIONS	LOCATION	DATE	AUDITOR	STATUS
ACTIONS	Thayne, WY	08/12/2022	Mary Smith	ARCHIVED
ACTIONS	Waldron, AR	08/17/2022	Jack Smith	ARCHIVED
ACTIONS	Waverly, NY	08/11/2022	Gary Smith	ARCHIVED
ACTIONS	Westwood, NJ	08/12/2022	Gary Smith	ARCHIVED
ACTIONS	Winslow, AR	08/10/2022	Jack Smith	ARCHIVED

Showing 1 to 5 of 5 entries < 1 >

🔍 ORPHANED AUDITS View All

ACTIONS	LOCATION	START DATE	END DATE	AUDITOR	MANAGER	BRANCH ID	BRANCH CODE	BRANCH STATUS	AUDIT STATUS
---------	----------	------------	----------	---------	---------	-----------	-------------	---------------	--------------

Regulatory Change Management System Branch Audit Toolkit

My Roles: Audit Manager / Auditor

Dashboard » Schedule

Schedule Audits

10 records

Search:

ID	CITY	STATE	CODE	TYPE	DUE DATE	REGION	PHONE	FL	LAST	SCHEDULE
210	Oakland	NJ	105	OSJ	2022-08-14	North	1234567890	Kellie Wagner	08/14/2021	SCHEDULE
465	Zwolle	LA	7148	Non Branch Location	2022-12-31	South	1234567890	Jordan House		SCHEDULE
464	Zanoni	MO	6578	OSJ	2022-12-31	Midwest	1234567890	Brian Bennett		SCHEDULE
463	Zahl	ND	5885	Non Branch Location	2022-12-31	South	1234567890	Craig Wilson		SCHEDULE
462	Yucca	AZ	8643	Non Branch Location	2022-12-31	West	1234567890	William Smith		SCHEDULE
461	York	AL	3692	Non-OSJ	2022-12-31	North	1234567890	Mark Yoder		SCHEDULE
460	Yigo	GU	9692	Non Branch Location	2022-12-31	Midwest	1234567890	Dr. Colon		SCHEDULE
459	Yeoman	IN	4799	OSJ	2022-12-31	East	1234567890	Robert Wilson		SCHEDULE
458	Yap	FM	9694	Non-OSJ	2022-12-31	West	1234567890	Cody Luna		SCHEDULE
457	Yalaha	FL	3479	OSJ	2022-12-31	East	1234567890	Victor Austin		SCHEDULE

Showing 1 to 10 of 465 items.

< 1 2 3 4 5 ... 47 >

Regulatory Change Management System Branch Audit Toolkit

My Roles: Audit Manager / Auditor

Dashboard • My Calendar

My Calendar

< > today month week day

August 2022

SUN	MON	TUE	WED	THU	FRI	SAT
31	1	2	3	4	5	6
7	8	9	10 Zeigler, IL (NBL)	11	12	13
14	15	16	17	18	19	20
21	22	23	24	25	26	27
28	29	30	31	1	2	3
4	5	6	7	8	9	10

Regulatory Change M

SCHEDULED AUDITS

1 - 1 month

BEGIN LOCATION

SEARCH

Showing 1 to 1 of 1 entries

CLOSED AUDITS

1 - 1 month

ACTIONS LOCATION

SEARCH

Showing 1 to 1 of 1 entries

DEFERRED AUDITS

ACTIONS LOCATION

APPLY FILTERS

14 VIOLATIONS

1 VIOLATION

2 VIOLATIONS

1 VIOLATION

2 VIOLATIONS

11 VIOLATIONS

9 VIOLATIONS

3 VIOLATIONS

1 VIOLATION

2 VIOLATIONS

1 VIOLATION

3 VIOLATIONS

4 VIOLATIONS

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Regulatory Change Management System Branch Audit Toolkit

My Roles: Audit Manager / Auditor

Dashboard » Open Audits » Allendale, NJ » Branch Profile

Allendale, NJ

Step One: Branch Profile

Branch Information

Branch Address: 108 Main Street
Suite 9
Allendale, NJ 07401
USA

Code: 0003
CRD #: 9
Type: Non-OSJ

Phone: 1234567890
Fax:

Branch Management

Field Leader: Alex Green
Email: donnas@regulatoryintelligence.com

Field Leader Qualifications:

- Series 9 & 10
- Series 24
- Series 23
- Other

If Other

Producing Field Leader:

- YES
 NO

Names of other "Qualified" Supervisors:

Number of Registered Representatives:

Nature of Business

Alternative Investments %

Asset Management %

Cash & Cash Equivalents %

Equities %

Fixed Income %

Fixed Insurance %

Variable Life Insurance %

Variable Annuities %

Mutual Funds %

Options %

Other %

Number of Transactions:

Monthly **Year to Date**

Number of Active Accounts:

Audit Details

Type Onsite Virtual

Audit Date:

Announced or Unannounced:



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Allendale, NJ

Step Two: Attachments

Audit Sections ▾

Pre-Audit Work:

-  [Document Request List](#)
-  [Branch Office Manager Questionnaire](#)
-  [Sales Assistant Questionnaire](#)

Additional Attachments:

You may attach any additional files here.

-  [VIEW OR ADD PRE-AUDIT WORK FILES](#)
-  [VIEW OR ADD POST REVIEW DOCUMENTS/PAPERWORK](#)

[← GO BACK](#)

[CONTINUE →](#)



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Regulatory Change Management System

My Roles: Audit Manager / Auditor

Dashboard » Open Audits » Allendale, NJ » Attachments

Allendale, NJ

Step Two: Attachments

Audit Sections ▾

Pre-Audit Work:

-  [Document Request List](#)
-  [Branch Office Manager Questionnaire](#)
-  [Sales Assistant Questionnaire](#)

Additional Attachments:

You may attach any additional files here.

-  [VIEW OR ADD PRE-AUDIT WORK FILES](#)
-  [VIEW OR ADD POST REVIEW DOCUMENTS/PAPERWORK](#)

[← GO BACK](#)

[CONTINUE →](#)

Attachments

Pre-Audit Work Attachments

Attachments:
You currently have no attachments.

No file chosen

0%

Dashboard » Open Audits » Allendale, NJ » Attachments

SCHEDULED AUDITS

BRANCH	LOCATION
BRANCH A	BRANCH A

CLOSED AUDITS

ACTIONS	LOCATION
ACTION A	BRANCH A
ACTION B	BRANCH B
ACTION C	BRANCH C

ORPHANED AUDITS

ACTIONS	LOCATION
---------	----------

APPLY FILTERS

14 VIOLATIONS

- 1 VIOLATION
- 2 VIOLATIONS
- 3 VIOLATIONS
- 4 VIOLATIONS
- 5 VIOLATIONS
- 6 VIOLATIONS
- 7 VIOLATIONS
- 8 VIOLATIONS
- 9 VIOLATIONS
- 10 VIOLATIONS
- 11 VIOLATIONS
- 12 VIOLATIONS
- 13 VIOLATIONS
- 14 VIOLATIONS

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Regulatory Change Management System Branch Audit Toolkit

My Roles: Audit Manager / Auditor

Dashboard » Open Audits » Allendale, NJ » Choose Chapters

Allendale, NJ

Audit Sections ▾

Select the applicable chapters to complete the audit

Chapters:

[Select All](#) / [Deselect All](#)

- A.** BRANCH ADMINISTRATION/REGISTRATION
- B.** REVIEW OF CUSTOMER COMPLAINTS
- C.** REVIEW OF BOOKS AND RECORDS / NEW ACCOUNT DOCUMENTATION
- D.** REVIEW OF CUSTOMER IDENTITY PROGRAM (CIP)
- E.** REVIEW OF CUSTOMER ACCOUNT ACTIVITY
- F.** REVIEW OF SUPERVISION OF SUPERVISORY PERSONNEL
- G.** REVIEW OF RR's ON HEIGHTENED/SPECIAL SUPERVISION/STATUTORY DISQUALIFIED INDIVIDUALS (SD's)
- H.** REVIEW OF REMOTE/PHYSICAL LOCATIONS/REGULATION SP
- I.** REVIEW OF DISCRETIONARY ACCOUNTS
- J.** REVIEW OF EMPLOYEE/EMPLOYEE RELATED ACCOUNTS
- K.** REVIEW OF EMPLOYEE/EMPLOYEE RELATED OUTSIDE ACCOUNTS
- L.** REVIEW OF OUTSIDE ACTIVITIES / PRIVATE SECURITIES TRANSACTIONS / SHARING IN PROFIT OR LOSSES, BORROWING OR LENDING MONEY AND/OR JOINT ACCOUNTS WITH CUSTOMERS
- M.** REVIEW OF ELECTRONIC AND WRITTEN COMMUNICATIONS, PDA's AND SOCIAL MEDIA WEB SITES
- N.** REVIEW OF ADVERTISING / MARKETING / SEMINARS / SENIOR INVESTORS / SENIOR DESIGNATIONS
- O.** REVIEW OF ORDER TICKETS AND CONFIRMATIONS
- P.** REVIEW OF ACCOUNT DESIGNATION CHANGES (Cancel/Rebills) and ORDER ERRORS
- Q.** REVIEW OF REGULATION T EXTENSIONS AND RESTRICTED ACCOUNTS
- R.** REVIEW OF BOUNCED CHECKS
- S.** REVIEW OF "P.O. BOX"/"CARE OF"/"HOLD MAIL" ACCOUNTS
- T.** REVIEW OF CUSTOMER CHANGE OF ADDRESS
- U.** REVIEW OF TRANSMITTALS OF FUNDS AND SECURITIES /LETTERS OF AUTHORIZATION
- V.** REVIEW OF SAFEGUARDING CUSTOMER FUNDS AND SECURITIES
- W.** REVIEW OF CURRENCY (BANK SECRECY ACT)
- X.** REVIEW OF TELEMARKETING



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Regulatory Change Management System Branch Audit Toolkit

My Roles: Audit Manager / Auditor

Dashboard » Open Audits » Allendale, NJ » Perform Audit

Allendale, NJ

Audit Sections ▾

Please answer the following questions:

PART A BRANCH ADMINISTRATION/REGISTRATION

Head VIOLATIONS NOTES ATTACHMENTS
 Start

QUESTION	HS	YES	NO	N/A	INFO			
A-1 Is the "Branch Manager" (BOM) or Supervisory Personnel in charge of the office appropriately qualified and registered as a "Qualified" person?	▶	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	?			0
A-2 Are designated supervisory personnel (i.e. Assistant Branch Manager) appropriately qualified and registered as "Qualified" (PERSONS)?	▶	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	?			0
A-3 Did the operations manager register as an operations professional and pass the operations professional qualification examination (if applicable)?	▶	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	?			0
A-4 Are Registered Representatives ("RRs") appropriately qualified and registered?	▶	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	?			0
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?	▶	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	?			0
A-6 Is a copy of the firm's Written Supervisory Procedures maintained at the branch office?	▶	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	?			0
A-7 Has the branch office had an Internal Audit or Inspection in the appropriate time frame pursuant to FINRA Rule 3110(c)?	▶	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	?			0
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	▶	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	?			0
A-9 Has the branch office had any Regulatory Examinations since its last Audit?	▶	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	?			0

PART B REVIEW OF CUSTOMER COMPLAINTS

QUESTION	HS	YES	NO	N/A	INFO			
B-1 Did the branch office receive any customer complaints during the review period?	▶	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	?			0
B-2 Does the firm/branch office maintain records of written customer complaints in accordance with FINRA Rule 4513?	▶	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	?			0
B-3 Were the customer complaints reported to FINRA in the appropriate quarter?	▶	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	?			0
B-4 Did a review of customer complaints disclose any complaints with merit, and/or patterns against certain RRs?	▶	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	?			0
B-5 Are customers furnished with a notice of the address and telephone number of the department of the firm to which any complaints may be directed?	▶	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	?			0
B-6 Did the branch/firm capture, acknowledge and respond to all written (including electronic) customer complaints?	▶	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	?			0

PART C REVIEW OF BOOKS AND RECORDS / NEW ACCOUNT DOCUMENTATION



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Regulatory Change Management System

My Roles: Audit Manager / Auditor

Dashboard » Open Audits » Allendale, NJ » Perform Audit

Allendale, NJ

Please answer the following questions:

PART A BRANCH ADMINISTRATION/REGISTRATION

QUESTION

- A-1 Is the "Branch Manager" (BOM) or Supervisory Personnel in charge of the office appropriately qualified and registered as a "Qualified" person?
- A-2 Are designated supervisory personnel (i.e. Assistant Branch Manager) appropriately qualified and registered as "Qualified" (PERSONS)?
- 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?

PART B REVIEW OF CUSTOMER COMPLAINTS

QUESTION

- B-1 Did the branch office receive any customer complaints during the review period?
- B-2 Does the firm/branch office maintain records of written customer complaints in accordance with FINRA Rule 4513?
- B-3 Were the customer complaints reported to FINRA in the appropriate quarter?
- B-4 Did a review of customer complaints disclose any complaints with merit, and/or patterns against certain RRs?
- B-5 Are customers furnished with a notice of the address and telephone number of the department of the firm to which any complaints may be directed?
- B-6 Did the branch/firm capture, acknowledge and respond to all written (including electronic) customer complaints?

PART C REVIEW OF BOOKS AND RECORDS / NEW ACCOUNT DOCUMENTATION

Rule Summary [Question: A-5]

SEA Rule 17a-3(a)(21)

(a) Every member of a national securities exchange who transacts a business in securities directly with others than members of a national securities exchange, and every broker or dealer who transacts a business in securities through the medium of any such member, and every broker or dealer registered pursuant to section 15 of the Securities Exchange Act of 1934, as amended, (48 Stat. 895, 49 Stat. 1377, 52 Stat. 1075; 15 U.S.C. 78 o) shall make and keep current the following books and records relating to its business:

(21) A record for each office listing, by name or title, each person at that office who, without delay, can explain the types of records the firm maintains at that office and the information contained in those records.

RULE REFERENCE

SEA Rule 17a-3(21) --- Records to be made by Certain Exchange Members, brokers or dealers

CLOSE WINDOW

	HS	YES	NO	N/A	INFO			
A-1	▶	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	?	🚩	📄	0
A-2	▶	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	?	🚩	📄	0
A-3	▶	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	?	🚩	📄	0
A-4	▶	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	?	🚩	📄	0
A-5	▶	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	?	🚩	📄	0
A-6	▶	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	?	🚩	📄	0
A-7	▶	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	?	🚩	📄	0
A-8	▶	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	?	🚩	📄	0
A-9	▶	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	?	🚩	📄	0

	HS	YES	NO	N/A	INFO			
B-1	▶	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	?	🚩	📄	0
B-2	▶	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	?	🚩	📄	0
B-3	▶	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	?	🚩	📄	0
B-4	▶	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	?	🚩	📄	0
B-5	▶	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	?	🚩	📄	0
B-6	▶	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	?	🚩	📄	0

Head VIOLATIONS NOTES ATTACHMENTS
Start

APPLY FILTER: []

14 VIOLATIONS

- 1 VIOLATION
- 1 VIOLATION
- 2 VIOLATIONS
- 1 VIOLATION
- 1 VIOLATION
- 2 VIOLATIONS
- 1 VIOLATION
- 3 VIOLATIONS
- 4 VIOLATIONS

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Regulatory Change Management System Branch Audit Toolkit

My Roles: Audit Manager / Auditor

Dashboard » Open Audits » Allendale, NJ » Acknowledgement

Allendale, NJ

Audit Sections ▾

Step Five: Acknowledgement

I agree that I have completed all applicable chapters to the Branch Audit and have followed all of the procedures and reviewed all appropriate documentation.

← GO BACK

I ACCEPT ✓



Regulatory Change Management System Branch Audit Toolkit

My Roles: Audit Manager / Auditor

Dashboard • Closed

CLOSED AUDITS

5 records

Search:

ACTIONS	LOCATION	START DATE	END DATE	AUDITOR	MANAGER	FL CODE	RRQ CODE	STATUS
ACTIONS ▾	Elmira, NY	08/10/2022	08/15/2022	Jack Smith	Donna Sardanopoli	psx179hw	zy2tqjg9pm	CLOSED
ACTIONS ▾	Shiloh, NJ	08/17/2022	08/19/2022	Jane Smith	Donna Sardanopoli	2kwpdm6h	wqtfm8kpsg	CLOSED
ACTIONS ▾	Tyrone, NY	08/16/2022	08/19/2022	Jack Smith	Donna Sardanopoli	nzsgw9q6	sx9fjmhv68	CLOSED

Showing 1 to 3 of 3 entries

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Regulatory Change Management System

My Roles: Audit Manager / Auditor

Dashboard » Old Reports » Risk Assessment Report - Only for 2022

RISK ASSESSMENT REPORT - ONLY FOR 2022

DIRECTIONS:

Choose your options from the filter below to generate a report

DATE RANGE:

01/01/2022 to 01/01/2023

SELECT

CLOSE

AUDIT STATUS:

Please Choose ▾

APPLY FILTER:

APPLY FILTER

LOCATION	DATE	AUDITOR	STATUS
Bloombsbury, NJ	08/12/2022	Jack Smith	ARCHIVED
Allendale, NJ	08/07/2022	Gary Smith	ARCHIVED
Ramsey, NJ	08/09/2022	Jack Smith	ARCHIVED
Phillipsburg, NJ	08/10/2022	Gary Smith	ARCHIVED
Waverly, NY	08/11/2022	Gary Smith	ARCHIVED

Chapter A | BRANCH ADMINISTRATION/REGISTRATION

14 VIOLATIONS

QUESTION	QUESTION TEXT	VIOLATIONS
Question A-1	Is the "Branch Manager" (BOM) or Supervisory Personnel in charge of the office appropriately qualified and registered as a "Qualified" person?	5 VIOLATIONS
Question A-2	Are designated supervisory personnel (i.e. Assistant Branch Manager) appropriately qualified and registered as "Qualified" (PERSONS)?	4 VIOLATIONS
Question A-3	Did the operations manager register as an operations professional and pass the operations professional qualification examination (if applicable)?	1 VIOLATION
Question A-4	Are Registered Representatives ("RRs") appropriately qualified and registered?	2 VIOLATIONS
Question A-7	Has the branch office had an Internal Audit or Inspection in the appropriate time frame pursuant to FINRA Rule 3110(c)?	2 VIOLATIONS

Chapter B | REVIEW OF CUSTOMER COMPLAINTS

11 VIOLATIONS

Chapter C | REVIEW OF BOOKS AND RECORDS / NEW ACCOUNT DOCUMENTATION

9 VIOLATIONS

Chapter D | REVIEW OF CUSTOMER IDENTITY PROGRAM (CIP)

3 VIOLATIONS

Chapter E | REVIEW OF CUSTOMER ACCOUNT ACTIVITY

1 VIOLATION

Chapter F | REVIEW OF SUPERVISION OF SUPERVISORY PERSONNEL

2 VIOLATIONS

Chapter G | REVIEW OF RR's ON HEIGHTENED/SPECIAL SUPERVISION/STATUTORY DISQUALIFIED INDIVIDUALS (SD's)

1 VIOLATION

Chapter H | REVIEW OF REMOTE/PHYSICAL LOCATIONS/REGULATION SP

3 VIOLATIONS

Chapter I | REVIEW OF DISCRETIONARY ACCOUNTS

4 VIOLATIONS

Chapter J | REVIEW OF EMPLOYEE/EMPLOYEE RELATED ACCOUNTS

3 VIOLATIONS

Chapter K | REVIEW OF EMPLOYEE/EMPLOYEE RELATED OUTSIDE ACCOUNTS

1 VIOLATION



2

RICS TECH & FLEXIBILITY

RICS offers a complete & custom solution for your Branch Audits, Reporting and Risk Analysis

- Custom Enhancements
- Custom Reporting
- Custom Integrations
- Ability to Integrate with 3rd Party Platforms and Internal Tools & Apps

CUSTOM CONTENT & ENHANCEMENTS



CONTENT

Supplement questions, checklists, questionnaires, attachments, modules, & other prerequisites.



REPORTS

We can slice & dice the data that is collected before, during, and after each branch audit & build custom reports to your specifications.

The RICS Platform can be custom tailored to the needs of your firm. We can build custom features, reports, modules, integrations, & more.

WORKFLOW

Customize the process and features that make up the branch audit. We can create enhancements to collect & report on the data that is most important to your firm.

API & Webhooks

Your data your way. You can push & pull content, schedules, branch information, usage data & more. Trigger custom notifications & actions using webhooks.



3

DEEPER DIVE

- Branch Roster
- Audit Scheduling
- Pre-Audit Questionnaires
- Workbook Smart Pre-Population
- 3rd Party Integrations, API, & Webhooks
- Communication & Attachments
- Cross Department Workflows
- Supervision, Findings & Solutions
- Reporting, Risk Analysis, Raw Data API Access
- Anywhere, Anytime

BRANCH ROSTER



Pulling a Branch Roster to determine which offices require examination.

RICS Solution:

Filters are provided in the scheduler. These filters not only segregate a specific list you may want to review whether it be by city, state, type of location, region, branch manager, it also provides the ability to DETERMINE WHICH OFFICES REQUIRE EXAMINATION through the color coding of the dates.

The color coding of the dates is divided into buckets of time. Time until the branch needs to be scheduled.

These time frames and colors can be selected by our clients and more importantly correlated to rule 3110 (c).

Regulatory Intelligence
Compliance Solutions, Inc.

Welcome, Donna Sardanopoli

Dashboard ▾ Branch Audits ▾ Schedule Audits Reports ▾ Tools ▾ Help

Regulatory Change Management System Branch Audit Toolkit

My Roles: Audit Manager / Auditor

Dashboard » Schedule

Schedule Audits

10 records Search:

ID	CITY	STATE	CODE	TYPE	DUE DATE	REGION	PHONE	FL	LAST	SCHEDULE
441	Westwood	NJ	193b	OSJ	2023-08-12	East	1234567890	Don Cummings	08/12/2022	SCHEDULE
289	Rockleigh	NJ	102	Non-OSJ	2023-12-31	East	1234567890	Kevin Lopez		SCHEDULE
264	Ramsey	NJ	0002	OSJ	2023-08-09	Midwest	1234567890	Samantha Smith	08/09/2022	SCHEDULE
242	Phillipsburg	NJ	101	OSJ	2023-08-10	South	1234567890	Charles Cervantes	08/10/2022	SCHEDULE
220	Oradell	NJ	173b	Non-OSJ	2025-11-01	West	1234567890	Elizabeth Gentry	11/01/2022	SCHEDULE
210	Oakland	NJ	105	OSJ	2022-08-14	North	1234567890	Kellie Wagner	08/14/2021	SCHEDULE
154	Mahwah	NJ	0001	Non-OSJ	2025-10-17	West	1234567890	Patrick Pugh	10/17/2022	SCHEDULE
79	Emerson	NJ	183b	Non-OSJ	2025-09-13	South	1234567890	Bryan Martinez	09/13/2022	SCHEDULE
17	Bloomfield	NJ	104b	OSJ	2023-08-12	Midwest	1234567890	Anna Mierant	08/12/2022	SCHEDULE

Schedule Audits

10 records

Search:

ID	CITY	STATE	CODE	TYPE	DUE DATE	REGION	PHONE	FL	LAST	SCHEDULE
441	Westwood	NJ	193b	OSJ	2023-08-12	East	1234567890	Don Cummings	08/12/2022	SCHEDULE
289	Rockleigh	NJ	102	Non-OSJ	2022-12-31	East	1234567890	Kevin Lopez		SCHEDULE
264	Ramsey	NJ	0002	OSJ	2023-08-09	Midwest	1234567890	Samantha Smith	08/09/2022	SCHEDULE
242	Phillipsburg	NJ	101	OSJ	2023-08-10	South	1234567890	Charles Cervantes	08/10/2022	SCHEDULE
220	Oradell	NJ	173b	Non-OSJ	2025-11-01	West	1234567890	Elizabeth Gentry	11/01/2022	SCHEDULE
210	Oakland	NJ	105	OSJ	2022-08-14	North	1234567890	Kellie Wagner	08/14/2021	SCHEDULE
154	Mahwah	NJ	0001	Non-OSJ	2025-10-17	West	1234567890	Patrick Pugh	10/17/2022	SCHEDULE
79	Emerson	NJ	183b	Non-OSJ	2025-09-13	South	1234567890	Bryan Martinez	09/13/2022	SCHEDULE
17	Bloomsbury	NJ	104b	OSJ	2023-08-12	Midwest	1234567890	Anne Vincent	08/12/2022	SCHEDULE

Showing 1 to 9 of 9 items. (filtered from 465 total entries)

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SCHEDULING AN EXAM

Scheduling an examination via the platform (OSJ and Non-OSJ office)

RICS Solution:

The client will select which roles can schedule Branch Audits; i.e., auditor and/or audit manager. The individual will select a beginning date and end date for the audit. The auditor and any additional auditors are selected. The scheduler will be given the opportunity to reschedule if there is a change in the audit date and/or auditor(s).

The screenshot displays the 'Regulatory Intelligence Compliance Solutions, Inc.' web application interface. The header includes the company logo and a user greeting: 'Welcome, Donna Sardanopoli'. A navigation bar contains links for 'Dashboard', 'Branch Audits', 'Schedule Audits', 'Reports', 'Tools', and 'Help'. The main content area is titled 'Regulatory Change Management System' and 'Branch Audit Toolkit'. The user's role is identified as 'My Roles: Audit Manager / Auditor'. The current page is 'Schedule New', showing a form for 'New Audit for Rockleigh, NJ'. The form includes the following fields:

- Please complete the following information:**
 - Audit Start Date: (* required) - 08/21/2022
 - Audit End Date: (* required) - 09/30/2022
- Please choose the auditor in charge of this audit:**
 - Lead Auditor: (* required) - Gary Smith
- Please choose additional auditor (if applicable):**
 - Additional Auditor: - None
 - Additional Auditor: - None
 - Additional Auditor: - None

A blue button labeled 'SCHEDULE THIS AUDIT' is located at the bottom of the form.

Dashboard » Schedule New

New Audit for Rockleigh, NJ

Please complete the following information:

Audit Start Date: (* required)

08/21/2022

Audit End Date: (* required)

09/30/2022

Please choose the auditor in charge of this audit:

Lead Auditor: (* required)

Gary Smith ▾

Please choose additional auditor (if applicable):

Additional Auditor:

None ▾

Additional Auditor:

None ▾

Additional Auditor:

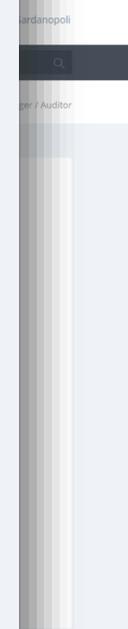
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SCHEDULE THIS AUDIT

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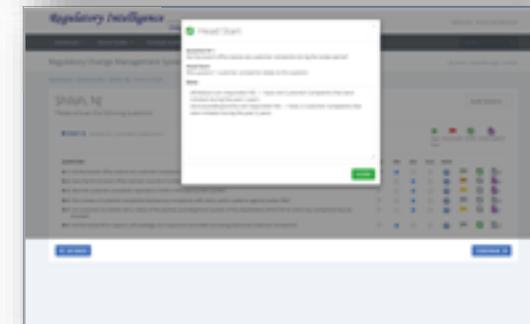
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PRE-AUDIT QUESTIONNAIRES

Delivering, receiving and analyzing pre-audit questionnaires based on role / title. Auto populate the audit workbook with the answers received.

RICS Solution:

RICS has the ability to create questionnaires for any type of roles (i.e. Brokers, Sales assistants, Person-in-charge) and insert them into the workflow. Delivery is sent via a link. Once an individual submits a questionnaire the responses are immediately available within various reports that allow the auditor to analyze the results in a concise manner providing an understanding as to what further review needs to be performed with reporting capabilities to track trends / velocity of which questions are being flagged.



RRQ Questionnaire Results - By Person - 2022 Audits

No answers to display

EMAIL: donnasard@optonline.net

Answers Based on "YES" Responses:

1. Do you have any Customer Complaints that were initiated during the past 2 years?

(If yes, provide customer(s) name, account number(s), and description of the allegations)

Answer: YES - **Details:** I have 2 Customer Complaints that were initiated during the past 2 years

3. Have you been questioned, by the Compliance Department or Legal Department regarding a complaint, activity in the account, a specific communication (i.e. email, phone, letter, fax) or any other customer/compliance issue within the past 12 months?

(If yes, provide the name and number of each customer account(s) and the reason for the inquiry)

Answer: YES - **Details:** I have you been questioned, by the Compliance Department regarding a complaint, activity in the account within the past 12 months.

4. Do you communicate with customers or prospective customers via personal E-Mail (i.e. AOL, MSN), utilize instant messaging, text messaging,, twitter, facebook, (other social networking sights) while in or out of the office?

(If yes, provide details of the frequency, list of customers contacted and by which means/application)

Answer: YES - **Details:** I communicate with customers and prospective customers via personal E-Mailwhile in or out of the office

7. Do you communicate or conduct business with the public through a firm issued iPad or similar device?

(If yes, provide details)

Answer: YES - **Details:** I communicate and conduct business with the public through a firm issued iPad

10. Do you conduct any business (including entering orders on behalf of clients) from any location outside your branch office?

(If yes, provide the location and what type of business is conducted)

Answer: YES - **Details:** At my home office

15. Do you have any other duties or responsibilities with your firm? i.e. [principal supervisor]

(If yes, Provide title, hours dedicated and description.)

Answer: YES - **Details:** I am assistant BOM.

16. Have you engaged in any outside business activities (i.e. director, officer, controlling stockholder, partner or sole proprietor of, or an associated person of any other company, entity or charitable organization)?

(Detail the activity, hours per week, if you have been compensated and if you perform the outside activity at the broker dealer's office.)

Answer: YES - **Details:** I have my real estate license ad work on weekends

19. Do you have any Employee and Employee Related (members of your household) Accounts at your firm?

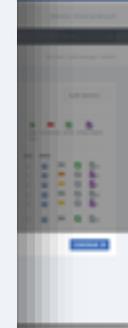
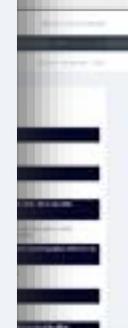
(If yes, provide account titles, account numbers and include individual accounts, joint accounts, partnership accounts, custodial accounts, investment club accounts, etc.)

Answer: YES - **Details:** I have an account with my spouse

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[Click here](#) to return to report.

RRQ Questionnaire Results - By Question - 2022 Audits

Answers Based on "YES" Responses:

1. Do you have any Customer Complaints that were initiated during the past 2 years?

(If yes, provide customer(s) name, account number(s), and description of the allegations)

EMAIL	ANSWER	DETAILS
donnasard@optonline.net	YES	I have 2 Customer Complaints that were initiated during the past 2 years
afi34@aol.com	YES	I have one Customer Complaints that were initiated during the past 2 years

2. Do you have any Litigations, Arbitrations, settlement requests, or disciplinary actions that were initiated during the past 2 years?

(If yes, provide customer(s) name, account number(s), and description of the allegations)

EMAIL	ANSWER	DETAILS
afi34@aol.com	YES	I have 2 Litigationsduring the past 2 years

3. Have you been questioned, by the Compliance Department or Legal Department regarding a complaint, activity in the account, a specific communication (i.e. email, phone, letter, fax) or any other customer/compliance issue within the past 12 months?

(If yes, provide the name and number of each customer account(s) and the reason for the inquiry)

EMAIL	ANSWER	DETAILS
donnasard@optonline.net	YES	I have you been questioned, by the Compliance Department regarding a complaint, activity in the account within the past 12 months.
afi34@aol.com	YES	I have been questioned, by the Legal Department regarding an activity in the account within the past 12 months

4. Do you communicate with customers or prospective customers via personal E-Mail (i.e. AOL, MSN), utilize instant messaging, text messaging,, twitter, facebook, (other social networking sights) while in or out of the office?

(If yes, provide details of the frequency, list of customers contacted and by which means/application)

EMAIL	ANSWER	DETAILS
donnasard@optonline.net	YES	I communicate with customers and prospective customers via personal E-Mailwhile in or out of the office
afi34@aol.com	YES	I communicate with customers or prospective customers via text messaging while in or out of the office

5. Do you utilize instant messaging, text messaging, twitter, facebook, blogs or other social media websites to conduct securities business with the public?

(If yes, Provide details regarding the securities business conducted, the frequency and approximately how many customers.)

EMAIL	ANSWER	DETAILS
afi34@aol.com	YES	I utilize text messaging to conduct securities business with the public.

6. Do you utilize a non-firm supplied desktop, personal computer, Ipad or other third party computer system to communicate with customers or prospective customers while in or out of the office?

(If yes, identify the device(s), wireless connection and provide all customers with whom you interact with in this manner?)

EMAIL	ANSWER	DETAILS
afi34@aol.com	YES	I utilize a non-firm supplied Ipad to communicate with customers or prospective customers while in or out of the office

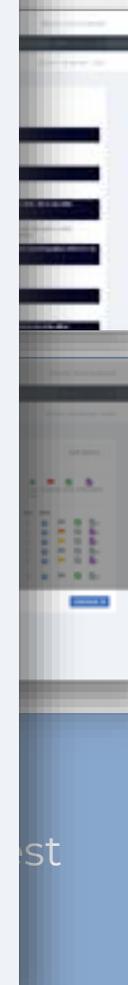
7. Do you communicate or conduct business with the public through a firm issued iPad or similar device?

(If yes, provide details)

EMAIL	ANSWER	DETAILS
donnasard@optonline.net	YES	I communicate and conduct business with the public through a firm issued iPad
afi34@aol.com	YES	I communicate and conduct business with the public through a firm issued iPad or similar device

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PRE-AUDIT QUESTIONNAIRES



Delivering, receiving and analyzing pre-audit questionnaires based on role / title. Auto populate the audit workbook with the answers received.

RICS Solution:

RICS platform offers the ability to auto populate the audit workbook with the answers received in the questionnaires. RICS facilitates this by providing a “Head Start” section where all the applicable information is auto populated for the corresponding question within the audit.



Shiloh, NJ

Audit Sections ▾

Please answer the following questions:

PART B REVIEW OF CUSTOMER COMPLAINTS

▶ 🚩 📄 📎
Head VIOLATIONS NOTES ATTACHMENTS
Start

QUESTION

- B-1** Did the branch office receive any customer complaints during the review period?
- B-2** Does the firm/branch office maintain records of written customer complaints in accordance with FINRA Rule 4513?
- B-3** Were the customer complaints reported to FINRA in the appropriate quarter?
- B-4** Did a review of customer complaints disclose any complaints with merit, and/or patterns against certain RRs?
- B-5** Are customers furnished with a notice of the address and telephone number of the department of the firm to which any complaints may be directed?
- B-6** Did the branch/firm capture, acknowledge and respond to all written (including electronic) customer complaints?

HS	YES	NO	N/A	INFO	VIOLATIONS	NOTES	ATTACHMENTS
▶	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	?	🚩	📄	📎 0
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The screenshot displays the 'Regulatory Intelligence' web application. The main interface is for a 'Regulatory Change Management System' audit for 'Shiloh, NJ'. A 'Head Start' popup window is open, providing context for 'Question B-1'. The popup includes the question text, a 'Head Start' note, and a 'Data' section with two entries. The background shows a table with columns for 'YES', 'NO', 'N/A', and 'INFO', and a 'GO BACK' / 'CONTINUE' navigation bar at the bottom.

Regulatory Intelligence

Welcome, Donna Sardanopoli

Dashboard ▾ Branch Audits ▾ Schedule Audits

Search...

My Roles: Audit Manager / Auditor

Audit Sections ▾

Head Start VIOLATIONS NOTES ATTACHMENTS

Head Start

Head Start

Question B-1:
Did the branch office receive any customer complaints during the review period?

Head Start:
RRQ question 1 customer complaints relates to this question

Data:

- afi34@aol.com responded YES - 1 have one Customer Complaints that were initiated during the past 2 years
- donnasard@optonline.net responded YES - 1 have 2 Customer Complaints that were initiated during the past 2 years

CLOSE

QUESTION

B-1 Did the branch office receive any customer complaints during the review period?

B-2 Does the firm/branch office maintain records of written customer complaints?

B-3 Were the customer complaints reported to FINRA in the appropriate quarter?

B-4 Did a review of customer complaints disclose any complaints with merit, and/or patterns against certain RRs?

B-5 Are customers furnished with a notice of the address and telephone number of the department of the firm to which any complaints may be directed?

B-6 Did the branch/firm capture, acknowledge and respond to all written (including electronic) customer complaints?

GO BACK **CONTINUE**

YES	NO	N/A	INFO		
<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input <="" td="" type="button" value="?"/> <td></td> <td> 0</td>		0
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Examples of 3rd PARTY INTEGRATIONS



The RICS Platform Has the Ability to Integrate with 3rd Party Services to the Ability of their API or Method

CUSTOM INTEGRATIONS

API / WEBHOOKS

Our API Supports Both Push & Pull Requests. You May Trigger Webhooks for Notifications or Other Capabilities

FINDINGS & ATTACHMENTS

Facilitation of communication and display of exhibits/attachments (findings) during the exam process to which the branch office can respond during the exam via the platform

RICS Solution:

Once the exam team is completed with the exam, they have the ability to send the findings report to the "Person-in-Charge" at the branch office. The Person-in-Charge will receive a personalized link that he/she clicks into that allows them to view the findings report. The person-in-charge will respond to each finding and have the ability to add attachments, which provides evidence of their response. Once the Person-in-Charge sends the responses back, they are then obligated to send another response as to what actual corrective action took place and as of what date the corrective action was completed.

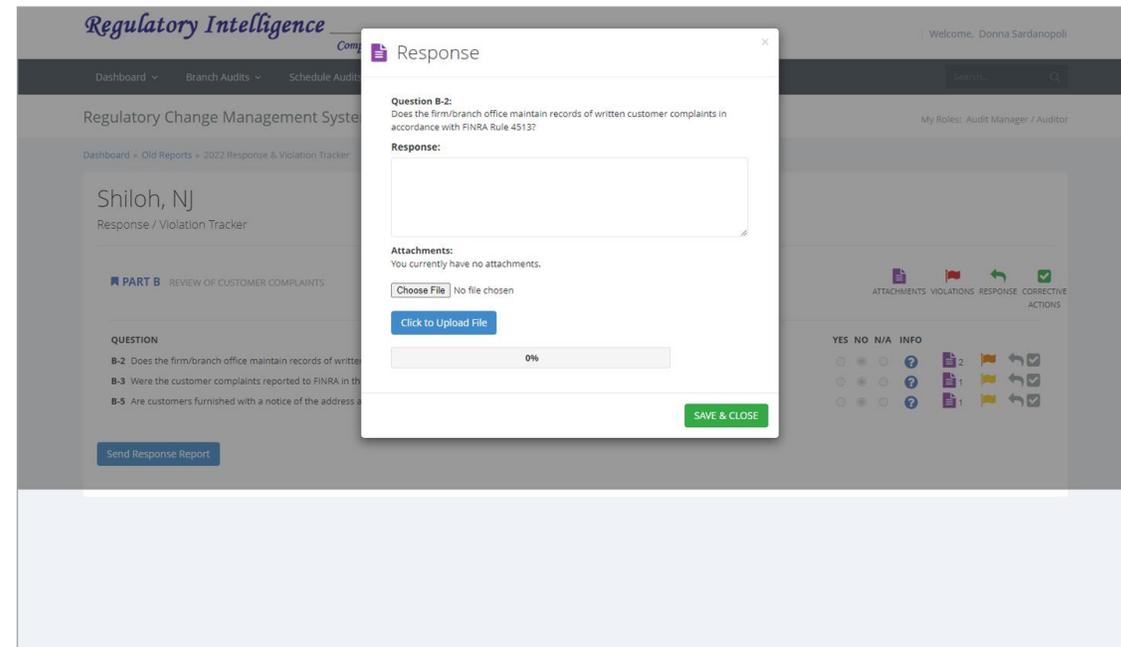
The screenshot displays the Regulatory Intelligence Compliance Solutions, Inc. web application interface. The header includes the company logo and name, a user greeting "Welcome, Donna Sardanopoli", and a navigation menu with options like Dashboard, Branch Audits, Schedule Audits, Reports, Tools, and Help. The main content area is titled "Regulatory Change Management System" and "Branch Audit Toolkit". It shows a breadcrumb trail: "Dashboard > Old Reports > 2022 Response & Violation Tracker". The current view is for "Shiloh, NJ" under "Response / Violation Tracker". A section titled "PART B REVIEW OF CUSTOMER COMPLAINTS" is visible, with sub-sections for "ATTACHMENTS", "VIOLATIONS", "RESPONSE", and "CORRECTIVE ACTIONS". Below this, there are three questions (B-2, B-3, B-5) with columns for "YES", "NO", "N/A", and "INFO". Each question has a set of radio buttons and a question mark icon. A "Send Response Report" button is located at the bottom of the section.

FINDINGS & ATTACHMENTS

Facilitation of communication and display of exhibits/attachments (findings) during the exam process to which the branch office can respond during the exam via the platform

RICS Solution:

Once the exam team is completed with the exam, they have the ability to send the findings report to the "Person-in-Charge" at the branch office. The Person-in-Charge will receive a personalized link that he/she clicks into that allows them to view the findings report. The person-in-charge will respond to each finding and have the ability to add attachments, which provides evidence of their response. Once the Person-in-Charge sends the responses back, they are then obligated to send another response as to what actual corrective action took place and as of what date the corrective action completed.



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The screenshot displays the Regulatory Intelligence Compliance Solutions web application. A modal window titled "Response" is open, showing a question and a response field. The background interface includes a navigation menu, a search bar, and a table of responses.

Regulatory Intelligence
Compliance Solutions

Welcome, Donna Sardanopoli

Dashboard ▾ Branch Audits ▾ Schedule Audits ▾

Regulatory Change Management System

Dashboard ▾ Old Reports ▾ 2022 Response & Violation Tracker

Shiloh, NJ
Response / Violation Tracker

PART B REVIEW OF CUSTOMER COMPLAINTS

QUESTION

B-2 Does the firm/branch office maintain records of written customer complaints in accordance with FINRA Rule 4513?

B-3 Were the customer complaints reported to FINRA in the past 12 months?

B-5 Are customers furnished with a notice of the address of the branch office?

Send Response Report

Response

Question B-2:
Does the firm/branch office maintain records of written customer complaints in accordance with FINRA Rule 4513?

Response:

Attachments:
You currently have no attachments.

Choose File No file chosen

Click to Upload File

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SAVE & CLOSE

ATTACHMENTS VIOLATIONS RESPONSE CORRECTIVE ACTIONS

YES	NO	N/A	INFO				
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	?	2		
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	?	1		
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	?	1		

© 2022 Regulatory Intelligence Compliance Solutions, Inc. Application by: Regulatory Intelligence Compliance Solutions Inc.

CROSS DEPARTMENT WORKFLOWS

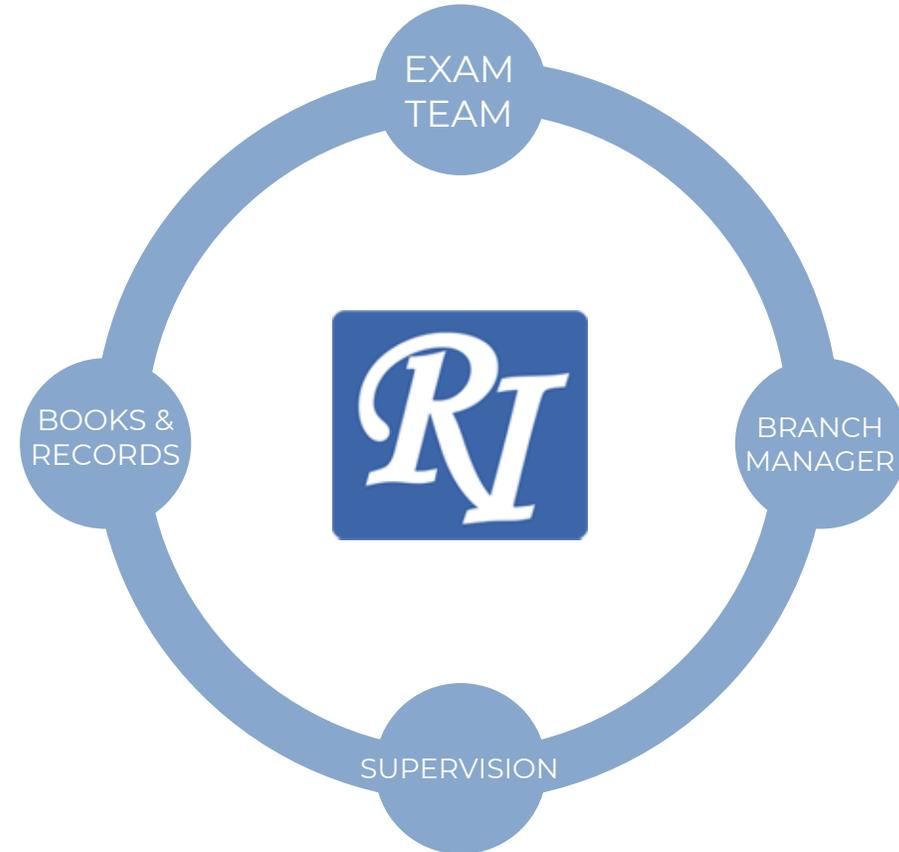


Facilitation of communication and workflows within the platform across multiple departments (e.g., Exam Team to Supervision)

RICS Solution:

Our clients have the option to include individuals at the home office supervision/compliance department as users. They can be given the same access as the exam team and be as involved as the audit team.

Once the Person-in-Charge sends their initial response, the home office supervision department or the audit team can communicate to the Person-in-Charge if each response was sufficient.



REPORTING & RISK ANALYSIS

Generation of status reports and statistical data for completed exams at the branch, broker-dealer and enterprise level which includes the ability to identify and analyze trends for which an exception is identified.

RICS Solution:

The platform has a risk report that includes many filters that can provide statistical information by time frame, individual branches, city, states, regions, branch hierarchy, broker-dealers, and cumulatively at the enterprise level. As you click into each violation question it will take the user all the way to the branch level. RICS can add and/or delete any filters necessary. Other risk reports can be built to meet other specific needs. In addition, RICS can provide all this audit data to their clients through the API which will allow them to slice and dice the information as they need.

The screenshot displays the Regulatory Intelligence platform interface. A modal window titled "Violation Details" is open, showing a table of violations. The table has columns for LOCATION, DATE, AUDITOR, and STATUS. The status for all listed violations is "ARCHIVED".

LOCATION	DATE	AUDITOR	STATUS
Bloomsbury, NJ	08/12/2022	Jack Smith	ARCHIVED
Allendale, NJ	08/07/2022	Gary Smith	ARCHIVED
Ramsey, NJ	08/09/2022	Jack Smith	ARCHIVED
Phillipsburg, NJ	08/10/2022	Gary Smith	ARCHIVED
Waverly, NY	08/11/2022	Gary Smith	ARCHIVED

The background shows a "RISK ASSESSMENT REPORT - ONLY FOR 2022" with a table of questions and their violation counts:

QUESTION	QUESTION TEXT	VIOLATIONS
Question A-1	Is the "Branch Manager" (BOM) or Supervisory Personnel in charge of the office appropriately qualified and registered as a "Qualified" person?	5 VIOLATIONS
Question A-2	Are designated supervisory personnel (i.e. Assistant Branch Manager) appropriately qualified and registered as "Qualified" (PERSONS)?	4 VIOLATIONS
Question A-3	Did the operations manager register as an operations professional and pass the operations professional qualification examination (if applicable)?	1 VIOLATION
Question A-4	Are Registered Representatives ("RRs") appropriately qualified and registered?	2 VIOLATIONS
Question A-7	Has the branch office had an Internal Audit or Inspection in the appropriate time frame pursuant to FINRA Rule 3110(c)?	2 VIOLATIONS

Summary of violations by chapter:

- Chapter A | BRANCH ADMINISTRATION/REGISTRATION: 14 VIOLATIONS
- Chapter B | REVIEW OF CUSTOMER COMPLAINTS: 11 VIOLATIONS
- Chapter C | REVIEW OF BOOKS AND RECORDS / NEW ACCOUNT DOCUMENTATION: 9 VIOLATIONS
- Chapter D | REVIEW OF CUSTOMER IDENTITY PROGRAM (CIP): 3 VIOLATIONS

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The screenshot displays the Regulatory Intelligence software interface. At the top, the logo "Regulatory Intelligence" is visible. The main navigation bar includes "Dashboard", "Branch Audits", and "Schedule Audits". The user is logged in as "Donna Sardanopoli". The current view is a "RISK ASSESSMENT REPORT - ONLY FOR 2022 A". The report includes a "DIRECTIONS" section with a filter for "DATE RANGE" (01/01/2022 to 01/01/2023) and an "AUDIT STATUS" dropdown set to "Please Choose". The report is organized into chapters, with "Chapter A" (BRANCH ADMINISTRATION/REGISTRATION) showing 14 violations. A "Violation Details" modal window is open, displaying a table of violations for Chapter A.

LOCATION	DATE	AUDITOR	STATUS
Bloomsbury, NJ	08/12/2022	Jack Smith	ARCHIVED
Allendale, NJ	08/07/2022	Gary Smith	ARCHIVED
Ramsey, NJ	08/09/2022	Jack Smith	ARCHIVED
Phillipsburg, NJ	08/10/2022	Gary Smith	ARCHIVED
Waverly, NY	08/11/2022	Gary Smith	ARCHIVED

The main report table for Chapter A is as follows:

QUESTION	QUESTION TEXT	VIOLATIONS
Question A-1	Is the "Branch Manager" (BOM) or Supervisory Personnel in charge of the office appropriately qualified and registered as a "Qualified" person?	5 VIOLATIONS
Question A-2	Are designated supervisory personnel (i.e. Assistant Branch Manager) appropriately qualified and registered as "Qualified" (PERSONS)?	4 VIOLATIONS
Question A-3	Did the operations manager register as an operations professional and pass the operations professional qualification examination (if applicable)?	1 VIOLATION
Question A-4	Are Registered Representatives ("RRs") appropriately qualified and registered?	2 VIOLATIONS
Question A-7	Has the branch office had an Internal Audit or Inspection in the appropriate time frame pursuant to FINRA Rule 3110(c)?	2 VIOLATIONS

Summary of violations by chapter:

- Chapter A | BRANCH ADMINISTRATION/REGISTRATION | 14 VIOLATIONS
- Chapter B | REVIEW OF CUSTOMER COMPLAINTS | 11 VIOLATIONS
- Chapter C | REVIEW OF BOOKS AND RECORDS / NEW ACCOUNT DOCUMENTATION | 9 VIOLATIONS
- Chapter D | REVIEW OF CUSTOMER IDENTITY PROGRAM (CIP) | 3 VIOLATIONS
- Chapter E | REVIEW OF CUSTOMER ACCOUNT ACTIVITY | 1 VIOLATION
- Chapter F | REVIEW OF SUPERVISION OF SUPERVISORY PERSONNEL | 2 VIOLATIONS
- Chapter G | REVIEW OF RR's ON HEIGHTENED/SPECIAL SUPERVISION/STATUTORY DISQUALIFIED INDIVIDUALS (SD's) | 1 VIOLATION
- Chapter H | REVIEW OF REMOTE/PHYSICAL LOCATIONS/REGULATION SP | 3 VIOLATIONS
- Chapter I | REVIEW OF DISCRETIONARY ACCOUNTS | 4 VIOLATIONS
- Chapter J | REVIEW OF EMPLOYEE/EMPLOYEE RELATED ACCOUNTS | 3 VIOLATIONS
- Chapter K | REVIEW OF EMPLOYEE/EMPLOYEE RELATED OUTSIDE ACCOUNTS | 1 VIOLATION

ACCESS & AVAILABILITY



ROLE BASED
SSO / IAM



NO VPN
REQUIRED



API + SSH
TUNNELS



OFFLINE
SYNC

USER & ROLE
MANAGEMENT

User management using the RICS IAM or your firm's SSO provider

PLATFORM
INDEPENDENT

The RICS Platform runs on Most modern OS + browser combinations

TRUSTED
INTEGRATION

Your data is available beyond the user interface. We can set up secure tunnels to share data

DATA LOCKING &
SYNCHRONIZATION

Lock an Exam to protect data integrity while working offline



4

MOVING FORWARD

- Regularly Updated Content
- Enhancements & Features
- More than Branch Audits
- Robust Network & Infrastructure

RICS IS BUILT TO GROW



- ✓ **Founded by Regulators**
RICS content is updated regularly as rules, procedures, & your firm's methodologies evolve
- ✓ **Software & Enhancements**
The RICS Platform is designed to be customized to the needs of your firm
- ✓ **Additional Tools & Apps**
RICS can work with your firm to create tools that go beyond Branch Audits
- ✓ **Overbuilt Infrastructure**
Our network & infrastructure are intentionally overbuilt for scalability and performance



Regulatory Intelligence _____
Compliance Solutions, Inc.

THANK YOU!

DO YOU HAVE ANY QUESTIONS?

