

CAESAR® Registrar®

**Automate the
Registration
Process from
Recruiting to
Producing**

CAESAR Registrar is an intuitive on-line wizard that guides representatives through the registration process with your Broker Dealer. This solution streamlines form filling and compliance for both representatives and the Back Office, reducing time, paper, and costs associated with new rep hires, and getting reps producing for your firm weeks earlier.

Automate the Registration Process

CAESAR Registrar guides representatives through the process of completing their U4 on-line, including Outside Business Activity and Disclosures. Broker Dealer specific forms can be seamlessly integrated into the wizard experience as well, creating a centralized location for new hires to electronically complete all forms needed to register with your Broker Dealer.

Completed U4's are approved by the Back Office and electronically transmitted to FINRA. U4 Amendments can be processed through CAESAR Registrar, enabling reps to easily provide updates on demographic changes, Outside Business Activity, FINRA Licenses, Jurisdiction Registrations and Exam Requests.

Streamline and Reduce Costs

CAESAR Registrar cuts down the registration timeline by days or even weeks via the electronic submission of validated data between the Reps, Back Office, and FINRA. The ease of form filling inherent within this solution creates legible entries, enabling the Back Office to conduct rep reviews more effectively. For complete efficiency, your unique registration workflow can be integrated into CAESAR Registrar, with data review and workflow stop points defined for OSJs, Compliance and the Back Office. Option available to electronically schedule fingerprints, providing your reps one central location to complete their registration with your organization.

CAESAR Registrar automates the registration process, from recruiting to producing, in an easy to use wizard format that follows your unique registration and rep approval workflow.

Schedule your demonstration of CAESAR Registrar today



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Annual Compliance Questionnaire

CAESAR Registrar can be utilized to automate and track your Annual Compliance Questionnaire, greatly reducing manual administrative efforts by promoting quality responses and preventing inconsistencies in forms. The Back Office can notify reps when forms need to be completed, track who has answered and focus only on exceptions.

Custom Form Filling Application

Initially developed for the Broker Dealer industry, CAESAR Registrar can be used as a question/answer and form filling wizard for any need you may have within your organization. Set up stop points to review data input, auto-generate emails to guide users through next stages, auto-populate forms so they are legible, and archive in PDF format for easy retrieval. If you have the need for an agile form filling technology solution, CAESAR Registrar is it.

“CAESAR Registrar keeps our reps from being intimidated by the big registration packet and it’s so much easier for them to use...but the real advantage is for the Back Office... less keying to do into CRD, and we can actually read the printed documents, as opposed to deciphering the hand written ones we used to get.”

–Compass Bank



CAESAR Registrar is offered as a Point Solution that can operate within your current technology infrastructure. CAESAR Registrar can be accessed through single sign-on and can be branded to match your corporate image. CAESAR Registrar is also offered as an adjunct to the CAESAR Integrated Solution for Broker Dealers. Once a rep is approved in CAESAR Registrar, they are automatically added to your CAESAR Back Office system, with data being kept up to date with CAESAR’s on-going FINRA interfaces.



Scan QR code to be taken directly to FDS website.



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