




## Conduct Your Annual Compliance Questionnaire On-Demand with Quest CE

# QUEST CE

# Online Annual Compliance Questionnaire

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- ✓ Fully customizable questionnaire to meet your firm's unique requirements
  - ✓ Online Questionnaire automates the Compliance workflow
  - ✓ Questionnaire is easily accessed through a custom On-Demand Learning Platform designed for your firm

Quest's Annual Compliance Questionnaire provides an innovative online solution to assist registered broker-dealers in the development, delivery, collection and evaluation of required annual questionnaires. The information obtained through the questionnaire allows you to tailor your regulatory programs to better serve your firm.

### Features:

- Questionnaire delivered via a custom On-Demand Learning Platform
- Automated Registration System and Email Notifications
- Custom Tailored Questionnaires specific to your business activities
- System automatically flags answers requiring management attention

### Benefits:

- Paperless access to required regulatory data from your representatives
- Cumulative report provides verifiable audit trail documenting representative completion and compliance actions taken
- Identify areas requiring further training and surveillance
- Ability to conduct multi-stage response analysis and review detailed reporting
- Secure and automated On-Demand Learning Platform available anytime – anyplace
- Eliminates the paperwork and automates the Questionnaire process for representatives
- Detailed, cumulative reporting for managers
- Paperless access to required regulatory data from your representatives
- Unique ID and password for each representative

