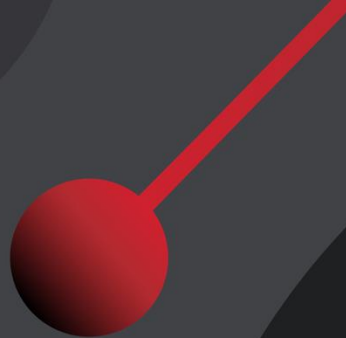




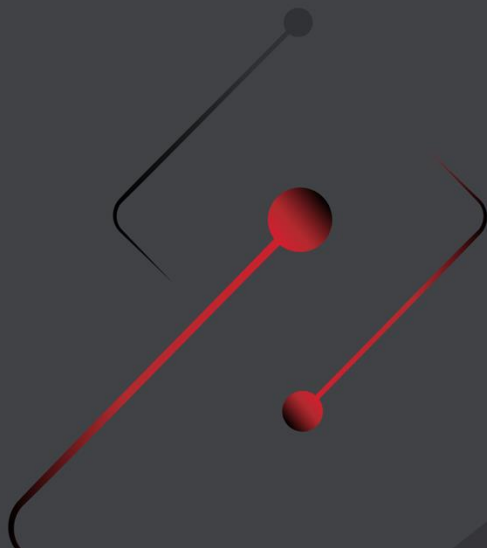
A

26



2026

ACCELERATE



 RED OAK PRESENTS

**Cathy
Vasilev**

Co-Founder



**Ryan
Reynolds**

**Implementation
Manager**



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Agenda

Overview

What Registration Management is and the key benefits it delivers

Why It Matters

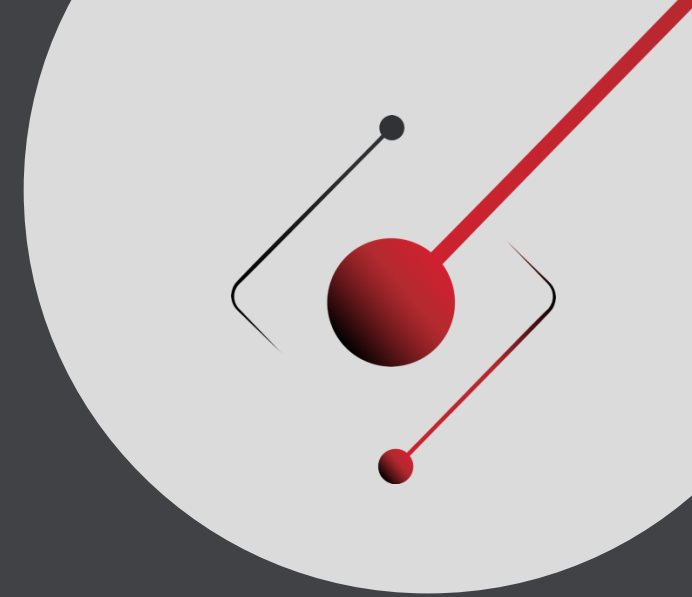
The compliance challenges firms face without a unified solution

Tool Features

Hierarchies, individual registrations, custom questions, reports, and data import

Regulatory Filings

U4 filing, FINRA updates, and submitting directly to CRD



Overview

What Registration Management is and the value it delivers

What is Registration Management?

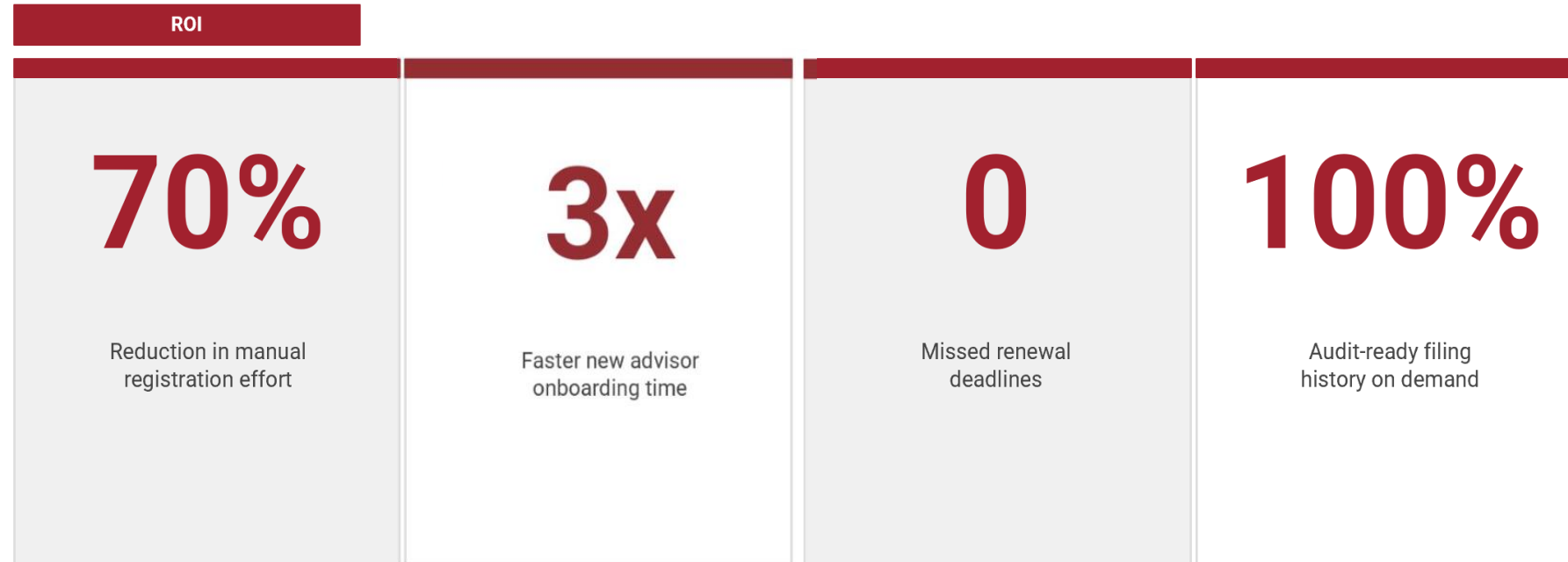
- Red Oak's Registration Management streamlines and automates the registration and licensing process for broker-dealers and investment advisers.
- Eliminate duplicate entry and pull data directly from FINRA and other sources.
- Manage registrations, licenses, and filings in one centralized, integrated platform.
- Automatically sync rep data — profile info, employment details, supervisory relationships, and custom fields — so your records are always current.
- Connect registration workflows directly with Internet Supervision and other Red Oak modules for end-to-end compliance.

Key Benefits

- Eliminate manual data entry — pull rep data directly from FINRA to keep records accurate and current.
- Centralize all registration activity in one place — hierarchies, registrations, licenses, filings, and custom data.
- Reduce Regulatory Risk
- Submit U4s and U5s directly to CRD without leaving Red Oak.
- Track unlimited custom questions for non-FINRA data that integrates seamlessly into searches and reports.
- Import data in bulk with intelligent validation to catch errors before they reach regulators.
- Gain real-time visibility into your firm's compliance posture with powerful searches and exportable reports.

ROI - Measurable Impact

ROI - Measurable Impact



Business Benefits



Regulatory Confidence

Reduce the risk of missed renewals and registration gaps that expose your firm to regulatory action



Operational Efficiency

Automate manual workflows and cut registration processing time by eliminating spreadsheet-based tracking.



Visibility & Control

Leadership and compliance officers gain a real-time, firm-wide view of registration health at all times



Advisor Experience

Advisors stay informed with self-service status checks, reducing back-and-forth with ops teams



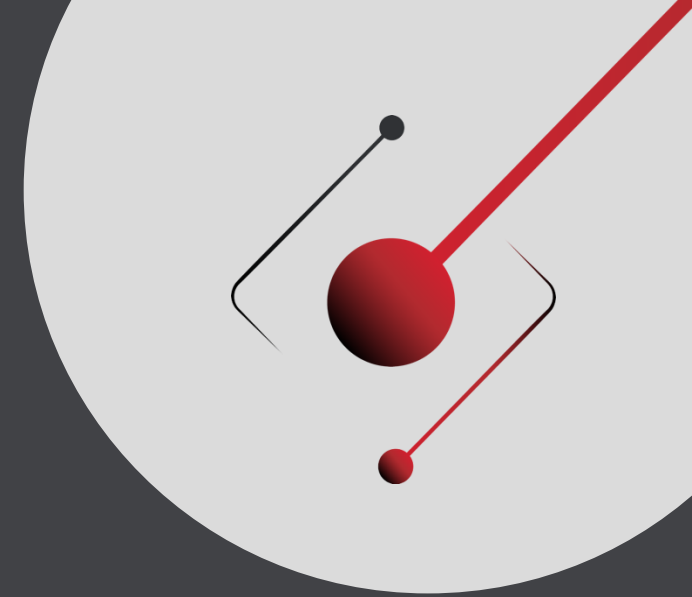
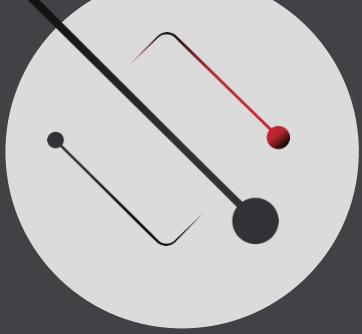
Faster Onboarding

New advisor registrations move through the pipeline faster with guided workflows and automated submissions



Audit Readiness

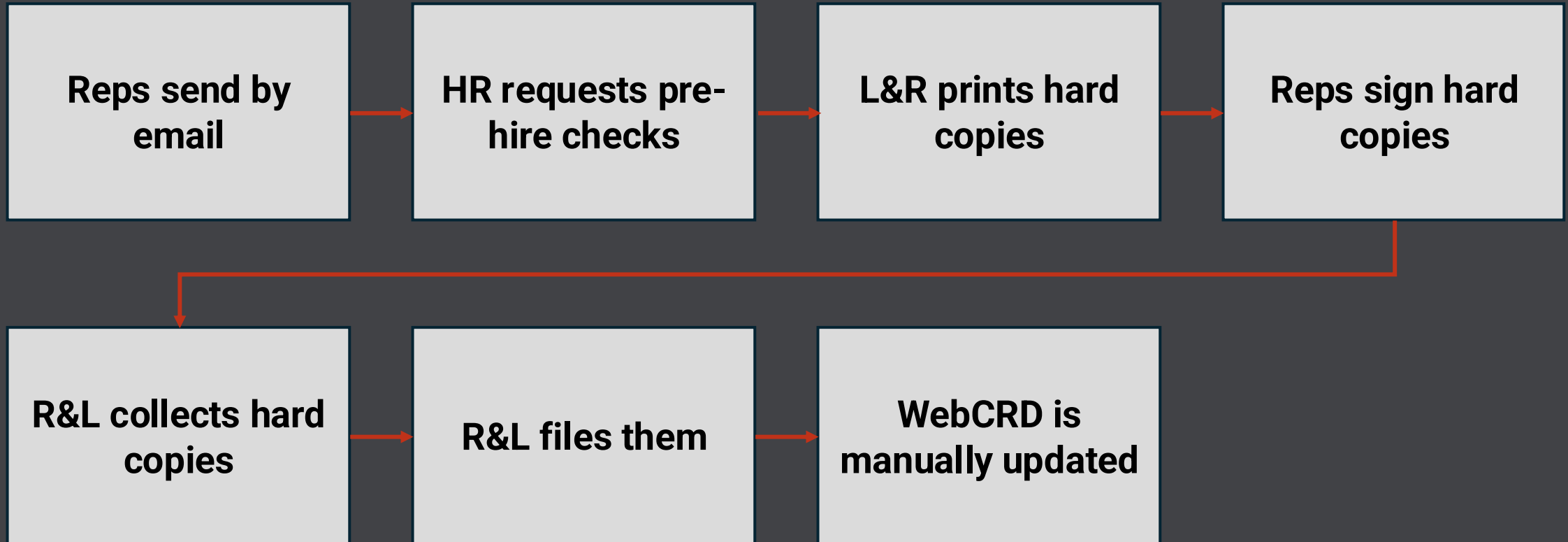
Every action is logged with timestamps and user attribution – exam-ready documentation with zero extra efforts



Why It Matters

The compliance challenges firms face without a unified solution

Requests – Typical Current Situation



ROI - Measurable Impact

ROI

70%

Reduction in manual
registration effort

3x

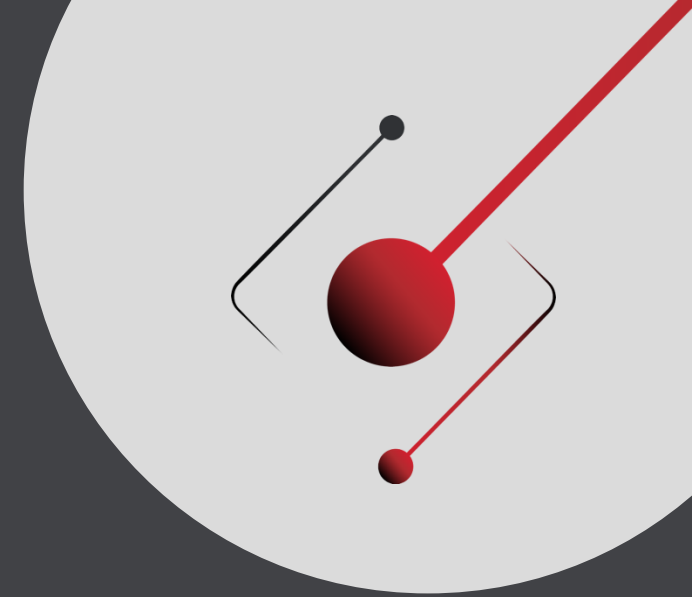
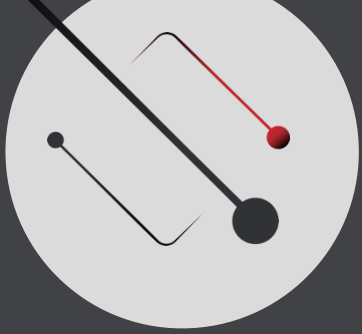
Faster new advisor
onboarding time

0

Missed renewal
deadlines

100%

Audit-ready filing
history on demand



Tool Features

Hierarchies, individual registrations, custom questions, reports, searches, data important filing directly with FINRA

Individual Registrations



Your Rep data is updated via the download from FINRA.

Individual Record from Red Oak Broker Dealer (12345)
7298319 - WHITELEY, ASTRID Active Add Comment View Audit Log

Detail Views

- Composite Information**
- Personal Information
- Employment History
- Other Business
- Registrations
- Disclosures
- Deficiencies
- Exam Information
- Current Professional Designations
- Continuing Education
- Fingerprint Cards
- Filing History
- Submissions
- Email Notifications
- Comments

General Information

Individual CRD #	7298319
Individual Name	ASTRID WHITELEY
Supervisor (Supervisors)	Geddes, Sasha Bonnie (8664172) <a>Edit <a>View Hierarchy
Direct Reports (Supervisors)	None <a>Edit
Supervisor (Test Hierarchy)	<a>Edit
Direct Reports (Test Hierarchy)	None <a>Edit
Social Security Number	##### <a>Show
Date Of Birth	
Registered With Multiple Firms	No
Statutory Disqualification Status	Blank
Material Difference in Disclosure?	No
Reportable Disclosures?	This individual has no disclosure that qualifies under this section (i.e., disclosure required to be reported on Form U4 or Form U5). Regulatory and Broker/Dealer Users: Please note that there are three types of disclosures in Web CRD: Reportable, Legacy and Archive disclosure. An individual with no reportable disclosure may or may not have Legacy or Archive disclosure. Investment Adviser Users: Please note that IARD does not include Legacy disclosure. Information reported on previous form filings through IARD is available under Filing History.
Is the Individual on Active Military Duty?	No
Other Business	Yes
CE Status	Satisfied - 2026-01-01
Residential Address	6 Dwight Crossing AUSTIN, TX 78769, United States
Latest Comment	test (Alan AllRoles on Feb 25, 2026, 2:48:39 PM)

Employment Information

Schuster SECURITIES, INC. (12345) Registered Representative
Independent Contractor

CRD Branch Number	FINRA OSJ	Address
BD Main - Located At		3556 Pierstorff Hill, STE. 907 AUSTIN, TX 78710

Custom Fields

Edit

Active	Inactive
Filter: <input type="text"/> <a>X <a>+	
Field Name	Value(s)
Department	Account Ops
Designations	CHFC, CFP
Disciplinary Action	<empty>
Email Address	awhiteley@schuster-securities.com
IAR State CE last Satisfied	<empty>
Insurance License Expiration Date	06-17-2022
Insurance State Registrations	AK, AL, TX
Lobbying CE	<empty>
Next Annual Review Date	07-29-2022
Next Ethics Test Schedule	10-27-2023
Role	Help

Hierarchies

Firm Challenges:

- Firms are manually compiling hierarchy details, putting together a Visio diagram, and saving it as a PDF.
- Clients can have multiple BDs or RIAs
- Firms with different management/regulatory hierarchies
- This was very labor intensive, almost a full-time job

Red Oak Solution:

Software that automates manual processes and increases process efficiency. It supports multiple hierarchies with an interface that shows supervisor relationships/individual information.

The screenshot shows a web application interface with a navigation bar at the top containing tabs for "Affiliated Firms", "Individuals", "Hierarchies", and "Er". Below the navigation bar, the page title is "Registration Hierarchies". The interface includes a pagination control with "Entries Per Page: 10" and navigation buttons "<< Prev" and "Next >>". It also displays "Displaying 1 to 1 of 1 entries". Below this is a table with two columns: "Name" and "Description". The table contains one entry: "Supervisory Hierarchy" under the "Name" column and "Supervisory Hierarchy" under the "Description" column.

Name	Description
Supervisory Hierarchy	Supervisory Hierarchy

Custom Fields



Tracking

You can create fields to track non-FINRA data relating to reps



Unlimited

You can have as many custom fields as you need



Searches

Data can be added to searches

Reports and Searches

Create custom searches/reports based on criteria you specify.

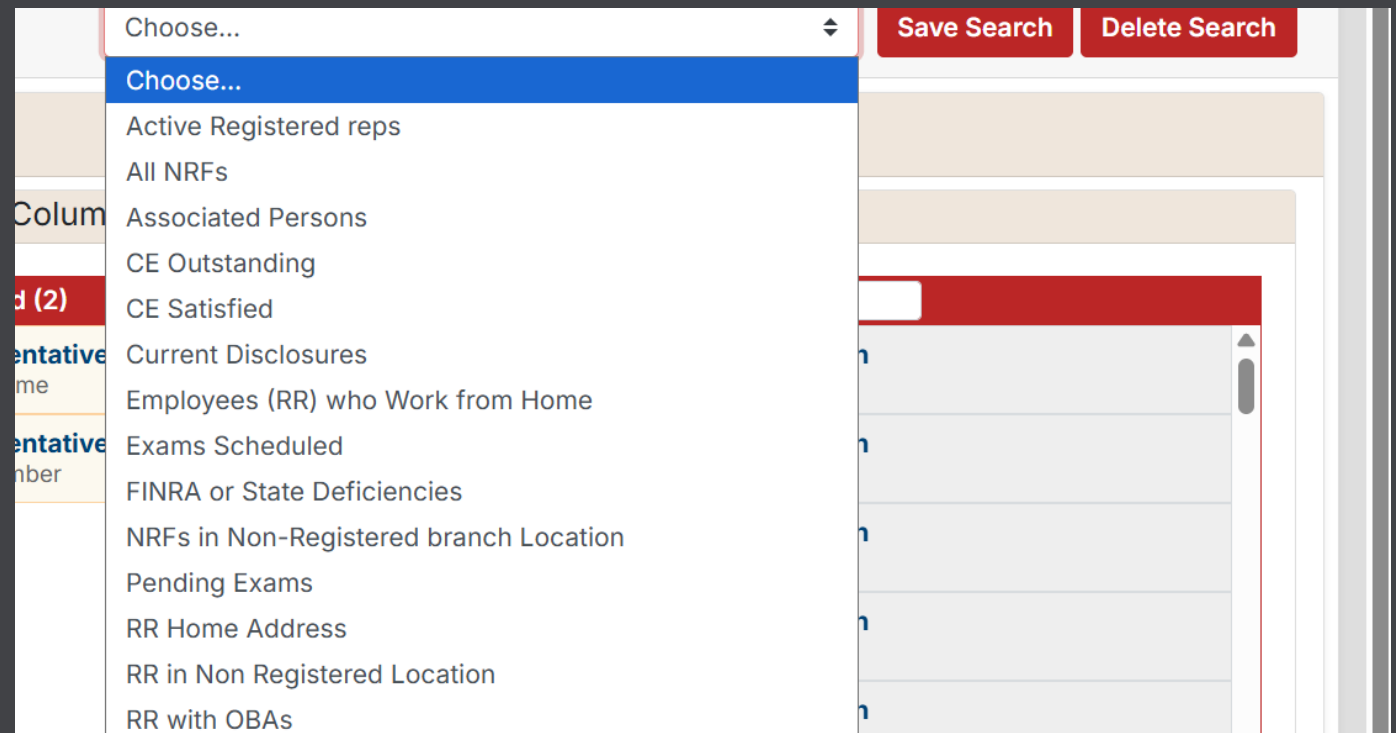
Generate customizable, comprehensive reports tailored to specific regulatory or internal requirements to gain insight into your registration and licensing statuses.

Benefits:

Simplifies the review process, empowers compliance managers to spot deficiencies, and act quickly.

All data is easily exported as a PDF or Excel file with the click of a button.

The most common searches needed to perform and report on:



Searches

Incredibly powerful search tool that allows you to search among user-defined custom fields and data included in the CRD Download.

Registration
Individual Search - Reps with Series 24

Saved Search: Reps with Series 24 Save Search Delete Search

Search Criteria Search Results (0) Search Clear Form

All of the following are true... Add Field Add Group

Firm
Association Status × Active Include Unspecified? No 🗑️

Exams
Valid Exams × S24 Include Unspecified? No 🗑️

Select Columns To Return

Selected (5) ? »» Search Unselected...

Representative Legal Name	Continuing Education Active CE
Representative CRD Number	Continuing Education Active CE Begin Date
Exams Valid Exams	Continuing Education Active CE End Date
Custom Branch Name	Continuing Education Active CE Session Date
Custom Rep Number	Continuing Education Future CE
	Continuing Education Future CE Begin Date
	Continuing Education Future CE End Date

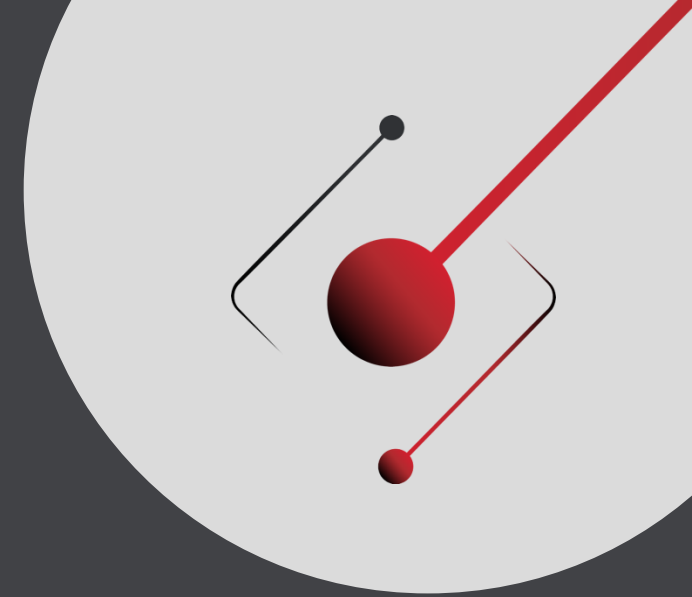
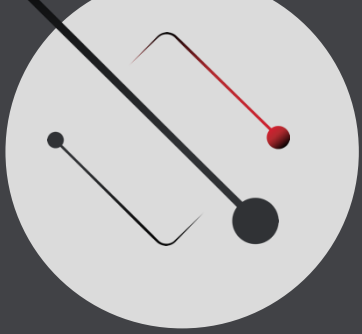
Data Import



The single-step migration process **easily** brings data from your current system into Red Oak.

Registration Management pulls data from **FINRA** to populate representatives' U4s and U5s in our system.

This feature conducts a mass upload with the **click of a button** instead of spending hours on manual updates, all while being **books and records compliant**.



Regulatory Filings

U4 filing, FINRA updates, and submitting directly to CRD

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U4 Filing

U4

- U4 - All U4 Sections**
Complete all or multiple U4 sections.
- U4 - Identifying Information Amendment**
U4 Amendment
- U4 - Exam Requests Amendment**
Modify Exam Requests
- U4 - General Information Amendment**
U4 amendment
- U4 - SRO Registrations Amendment**
U4 amendment
- U4 - Residential History Amendment**
Modify residential history on U4
- U4 - Employment History Amendment**
U4 amendment
- U4 - OBA Amendment**
U4 amendment for OBA Declaration
- U4 - Office of Employment Address Amendment**
Modify Office of Employment Address
- U4 - Jurisdiction Registrations Amendment**
U4 amendment for jurisdiction registrations
- U4 - Other Names Amendment**
Modify Other Names
- U4 - Professional Designations Amendment**
U4 amendment

U4 OBA Amendment

Submission
10921 - Test

Create U4 OBA Amendment

Draft

 Not Approved For Use

Edit Activity Details - Create U4 OBA Amendment

Save

Cancel

1. Name of the other business

2. Investment-related

Yes

No

3. City and state of the other business

4. Nature of the other business

5. Your position, title, or relationship with the other business

6. The start date of your relationship with the other business



7. The approximate number of hours per month devoted to the other business

8. The number of hours devoted to the other business during securities trading hours

9. Briefly describe the duties relating to the other business

Save

Cancel

FINRA Filing

Edit Other Business Activities

Save

Cancel

Are you currently engaged in any other business either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise? (Please exclude non investment-related activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.)

Yes No

Current OBA Declaration:

Pacocha Holdings. 04 Luster Crossing, Suite 300, Austin, Texas 78701. Investment Related. Consultant. 04/15/2019. 160 hr/mo and 160 hr/mo during trading. Real estate and 1031 consulting.

Keller Williams. Real Estate Agent. Not investment related. 07/05/2015. 511 Columbus Point, Cedar Park, TX 78613. 1hr per mo/1hr per month during trading. I act as a real estate agent on my own home purchases and sales and will occasionally work for family members.

Proposed OBA Declaration:

Austin Chamber of Commerce. 429 5th Ave, Austin, Texas 78701. Not Investment Related. Board Member. 03/23/2025. 60 hr/mo and 60 hr/mo during trading. Board Member duties and responsibilities for a 2 year term.

Pacocha Holdings. 04 Luster Crossing, Suite 300, Austin, Texas 78701. Investment Related. Consultant. 04/15/2019. 160 hr/mo and 160 hr/mo during trading. Real estate and 1031 consulting.

Keller Williams. Real Estate Agent. Not investment related. 07/05/2015. 511 Columbus Point, Cedar

Difference Between OBA Declarations:

Austin Chamber of Commerce. 429 5th Ave, Austin, Texas 78701. Not Investment Related. Board Member. 03/23/2025. 60 hr/mo and 60 hr/mo during trading. Board Member duties and responsibilities for a 2 year term. Pacocha Holdings. 04 Luster Crossing, Suite 300, Austin, Texas 78701. Investment Related. Consultant. 04/15/2019. 160 hr/mo and 160 hr/mo during trading. Real estate and 1031 consulting. Keller Williams. Real Estate Agent. Not investment related. 07/05/2015. 511 Columbus Point, Cedar Park, TX 78613. 1hr per mo/1hr per month during trading. I act as a real estate agent on my own home purchases and sales and will occasionally work for family members.

Save

Cancel

FINRA Filing

Red Oak

[Email Support](#) | [Google Search](#) | [Communications Supervision](#) | [Logout](#)

AdMaster Demo | US/Central GMT-0500 | United States - English

Submissions

[Search](#) [Reports](#) [Disclosures](#) [Registration](#) [Administration](#) [Library](#) [My Profile](#)

Scratchpad

v1.0.540 - Release Notes (0 new)

[<< Back To Submission Listing](#)

[Send to Submitter](#)

[File With FINRA](#)

Submission - Boony Mensler
10921 - Test [Edit](#)

Pending Compliance Review

Not Approved For Use

Overview	Details	Comments (0)	Documents (0)	Status History (2)	Activity Log (3)	Workflow Diagram	Emails (2)	Rules (0)
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Questions

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Thank You

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