

Ready to build, standardize, or expand your intermediary oversight program?

The rise of omnibus recordkeeping has put third-party distribution in the regulatory spotlight. With intermediary compliance expectations at a record high, reacting with diligent, cost-effective measures is a challenge for fund companies of all sizes.


Our **Intermediary (IM) INSIGHT** service solves this challenge and extends the reach of your oversight program through a more economical and effective audit report review. NQR's experts relay intermediary audit findings with online reporting while our relationship managers and client community provide guidance into following up and filling the gaps.



Visit www.nqrinc.com for details

**"A consistent method to analyze
and compare intermediaries."**

- Chief Compliance Officer, Client



More Economical & Effective Audit Report Review

Spend little to no time reading reports internally. Our experts review all documentation and map findings to the ICI's FICCA framework, allowing you to view point-by-point comparisons and prioritize follow-up.



Better Reporting & Data Consolidation

Quickly navigate and leverage review results, NQR benchmarks, and each intermediary's FINRA disciplinary history through customizable online reports. Don't see the perfect report for your Board? We'll build it.



Upgraded Support & Industry Intelligence

Gain perspective on oversight best practices through NQR relationship managers and quarterly all-client user groups. You can even skip the report retrieval process for intermediaries with direct NQR partnerships.