Sales Quality Research Group announces updates to it's *Online Branch Audit System™*

Sales Quality Group, of Tempe, Arizona, is pleased to announce the 2015 "updated" version of its proprietary ***Online Branch Audit System™.*** Designed specifically for broker dealers, investment sales programs and TPMs, the highly sophisticated and interactive online system provides a consumer friendly and cost-effective way to conduct branch and OSJ audits, manage the audit process, and generate key reports necessary to comply with applicable legal and regulatory requirements (NASD Rule 3010).

Sales Quality Group's ***Online Branch Audit System™*** replaces what has historically been a cumbersome, time-consuming and paper-intensive process with a state-of-the-art, secure, online system providing real-time (24/7) support for auditors, sales managers, program managers and senior management. Clients can design their own branch audit forms or use a customized version of Sales Quality Group's model "best practices" audit forms. Sales Quality Group can also provide experienced auditors and/or high-level audit consulting to assist clients in conducting actual audits or revising the firm's policies and procedures.

- **Auditing Module:** Sales Quality Group's ***Online Branch Audit System™*** provides auditors with access to real-time audit schedules, input screens and the entire audit database via the Internet. Some of our clients access the Internet through the branch they are auditing, while others obtain Internet access using USB plug-in devices from AT&T, Verizon, Sprint or T-Mobile. But if none of these methods are available to you, Sales Quality Group also offers the option of being able to download the Branch Audit Software to the auditor's laptop and to operate in an offline mode! With this unique feature, auditors can enter all audit data then upload the completed audit to the master database at a future time when they do have Internet access. These features totally eliminate the need to fill out a printed form then re-enter the data into various spreadsheets at some future date.

  From an auditor's standpoint, the System offers a whole host of exciting features. Questions can be cross-indexed, designated as scoring or non-scoring and be weighted to reflect the greater importance of specific evaluation criteria. Sections can be scored separately, and results summarized in a graph or chart at the top of the audit report, providing an immediate visual overview of results. Text fields are provided at the end of each section to allow auditors to summarize or clarify their findings. All activities, including records of violations and supervisory signoff, are date and time-stamped and can be locked as non-editable historical records. As a bonus, all supporting exhibits/documentation and even audio recordings can be uploaded or scanned then attached to the audit, ensuring a permanent record of all key documentation.

- **Reporting Module:** After logging onto a highly secure, password protected website, senior management, sales managers and compliance officers will be provided with an instant overview of the audit process and status by means of an interactive and customizable dashboard. The dashboard provides charts, graphs and tables depicting the status of your audit project. And when something catches your eye, you have the ability to "drill down" on the data by region, district, branch or rep name to find out what you need to know. Your audit results can be viewed and compared in many ways, including year-by-year, year-to-date, region, sales manager and registered rep. You can also automatically download or email any report or report card in a pdf, Excel or other format.

  The audit report cards generated can include sections for one or more required "sign-offs" by management or compliance personnel. The Audit System can also be set to automatically send out email notifications or reminders to auditors or managers based on user-specified triggers or events. In addition, the report cards can be designed to automatically display the company's compliance policies and generate alerts or explanations when any audit requirement is not met.

- **Administrative Module:** This recently launched optional enhancement allows larger brokerage firms the ability to expand their management of past, present and future audit information via the underlying relational database. With this feature, the client can add branches to audit and/or assign audits to individual auditors and monitor their progress throughout the year. If an auditor leaves your employment – no problem – you just open the Administrative Module and reassign the audit. The Admin module can be set up to include all historical audit data, plus plan your future audits up to three years in advance. When the regulators arrive, you will be able to instantly provide them with an up-to-date status report. Smaller programs can also track past, present and future audit information in a simple Excel spreadsheet that resides within the Online System.

- **Secure and Confidential:** Sales Quality Group's ***Online Branch Audit System™*** uses the sophisticated Prophet Survey System developed by Archon Development of Tallahassee, Florida. The system is password protected, has multiple firewalls and uses Secure Socket Layer "SSL" technology that encrypts all data transmitted over the Internet. Archon Development provides automatic backup to redundant and secure offsite servers. While the results of individual file reviews are stored within the Audit System, all confidential customer data is retained by the client within their own internal systems.

QUESTIONS AND ANSWERS

We just revamped our audit questionnaire last year and want to continue using it. How do we proceed? *No problem – Sales Quality Group can build an online system exactly to your specifications and even help you upload the prior years' data so that all important information resides in the same place and is accessible online, in real-time, to all authorized users.*

We already started our 2015 audit process, so do we have do we have to wait to 2016 to adopt your system? *No need to wait! Sales Quality Group can have you up and running with your online system is just a few weeks and can help you import/enter the data that you have already collected this year.*

We need to re-evaluate our entire branch and OSJ audit process. Can you provide consulting support in this area? *Sales Quality Group has both "model" questionnaires and several strategic partners who can provide consulting on the entire branch audit process and other critical compliance issues.*

We may need to hire outside auditors to help us complete our 2015 audits. Can you provide support in this area as well? *Sales Quality Group has a number of experienced and fully licensed auditors (with gravitas…;-) available to assist you in conducting your audits.*

So, how much does the system cost? *We think you will be pleasantly surprised at how inexpensive it will be to establish and maintain your online branch audit system – plus Sales Quality Group grants discounts to its mystery shop and market research clients.*

For additional information on Sales Quality Group's new ***Online Branch Audit System™***, please contact Jim Rensel by phone at 480-967-7500 or by email at jim@salesqualitygroup.com for additional details and a demo of our online system.

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SCREENSHOT OF TYPICAL AUDIT DASHBOARD - MANAGEMENT

SCREENSHOTS OF TYPICAL AUDITORS DASHBOARDS – ONLINE OR OFFLINE