



# Broker Dealer Services

## Do You Need a Broker Dealer?

FNEX Capital provides you turn-key broker-dealer registration and ongoing compliance for:


- Investment Banking Teams
- Asset Managers Their Sales Personnel
- Third-Party Marketing & Fund Wholesaling and Distribution Groups
- Fund Sponsors

At FNEX Capital we provide our brokers a cost effective and strategic relationship. You don't need to launch your own independent broker-dealer when we will provide everything you need at a fraction of the annual cost. Specifically, we provide full service back -office compliance and FINRA/SEC related reporting, including:


- Email review on a monthly basis of all registered representatives;
- Email archiving for all registered representatives with FINRA approved provider;
- Diligence review of all engagement agreements, offering documents, and transaction related documents;
- AML / KYC processes on all investors in each transaction;
- Continuing education monitoring for each registered representative;
- Investment account monitoring for each registered representative;
- Annual CE as required by FINRA; and
- Required Broker Dealer reporting.

### FNEX Capital provides Brokers:

- Registration with the SEC, FINRA, and 51 States and Territories
- Responsive compliance and broker dealer support services
- Competitive & customized payouts structures to maximize earning potential
- Strategic network of brokers you can leverage to expand distribution efforts
- Proprietary technology for distribution, compliance and reporting

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 [fnex.com](http://fnex.com)

Securities offered through FNEX Capital, LLC Member FINRA/SIPC