COMPLIANCE MANAGEMENT

RegEd

# ADVERTISING REVIEW

## Industry Challenge

Both Compliance and Marketing have critical roles in supporting core business objectives and effective, efficient advertising review is integral to that goal. However, managing the advertising and customer communications review, approval and document management processes can present significant challenges for financial services firms. The process must fully address compliance requirements pursuant to state, federal, FINRA and other customer communication regulations, while facilitating a seamless review process that enables all stakeholders to increase the quality and effectiveness of the firm's marketing communications, while speeding time to market.

## RegEd Solution

RegEd's *Advertising Review* Solution is a market-leading solution that has earned high marks from compliance, advertising review, marketing, sales and IT stakeholders in dozens of firms across the nation. *Advertising Review* presents a single, integrated solution that streamlines the end-to-end processes for advertising and customer communication submission, review, collaboration and approval, speeding time to market for review items so that sales campaigns are launched in the expected timeframes and with the highest level of quality.

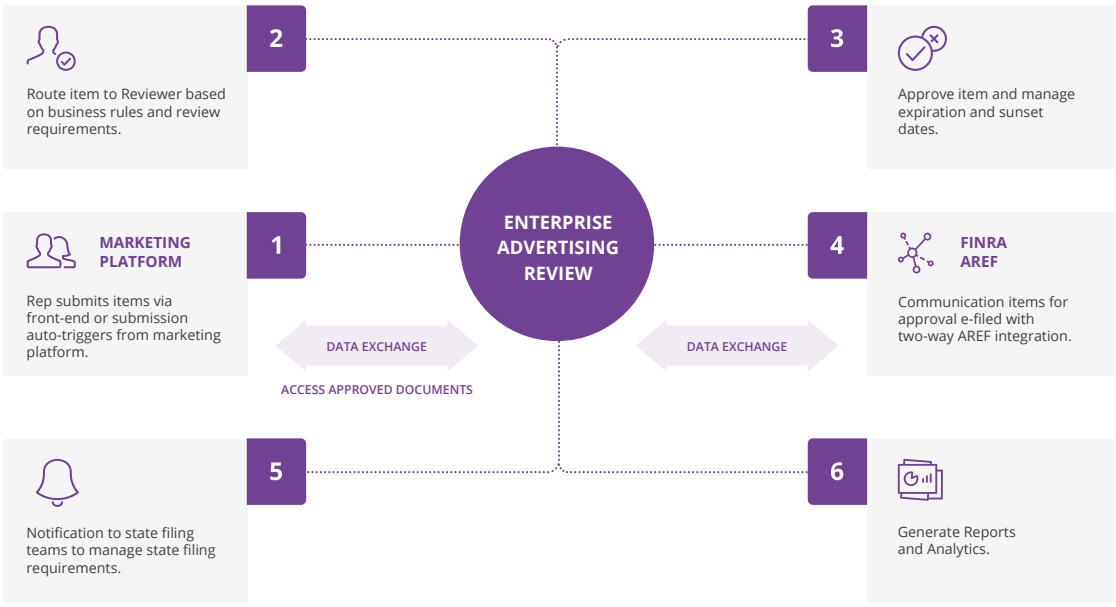
Hallmarked by unmatched flexibility, configurability and ease-of-use, *Advertising Review* drives the highest levels of efficiency and delivers extraordinary value for the investment, enabling firms to handle projected volume growth without compromising review quality or turnaround.

Robust workflow capabilities enable firms to mirror existing workflows and processes avoiding the need to reengineer work processes to conform to the solution. Submission routing and submission forms are fully customizable within the context of the firm's organizational hierarchy. In addition, Smart Workflow capabilities intelligently route all advertising submissions through the review process.

**RELATED SOLUTIONS**

- Advertising Review
- Audit Management
- Complaint Management
- Compliance Questionnaires
- Form ADV Part 2B Supplement
- Incident Management
- Policies & Procedures Management
- Regulatory Change Management
- Regulatory Exam Management

A comprehensive data repository stores all approved materials in a searchable communications library where approved material can easily be accessed for reuse, saving valuable time and resources for both marketing and compliance professionals. RegEd *Advertising Review* fully supports SEC 17(a)-4 compliance.




### Smart Features Speed Submission and Review Processes

*Advertising Review* integrates business intelligence to automate processes and drive efficiency in the advertising review cycle. *Smart Workflow* intelligently routes submissions through the review process. *Smart Tracking* enables reviewers to reference approved versions of recurring submissions, providing immediate context to speed review decisions. *Smart Work Queue* provides the ability to prioritize review tasks based on firm-defined business rules.

## Distinguishing Capabilities

### For Submitters

- User-friendly interface presents plain-language guidance during the submission process and enables inclusions of multiple items in a single submission.
- Support for all file types and large file size allow submission of rich content such as audio, video and animation.
- Access library of approved material, reuse an existing piece or as basis for a new communications piece.
- Receive timely, in-context input from reviewers to speed revisions and approval.

### For Reviewers

- Robust version control capabilities avoid overlapping and lost edits.
- Smart Tracking enables reviewers to reference approved versions of recurring submissions, providing immediate context to speed review decisions.
- Using Online Annotations reviewers provide submitters with clear, timely, consolidated feedback in the context of the actual review item.
- Integrated filing from *Advertising Review* to FINRA AREF eliminates manual steps.

**For Marketing**

- Intuitive interface, on-demand self-service and seamless end-to-end processes materially reduce support call volume, speeding time to market and supporting achievement of sales and marketing goals.
- Workflow capabilities enable ready participation at key junctures in creation and approval process.
- Smart Tracking provides insight into recurring newsletter and marketing campaigns.

**For Administrators and Other Stakeholders**

- Easily manage expiration dates and permissions without need to manually track, sunset approved pieces.
- Fully indexed document review, approval history and firm-tailored meta-data, enable timely and precise fulfillment of document requests. Critical KPIs measure turnaround time, facilitate effective oversight, enabling quantitative assessments of marketing impact in context of business goals.

## About RegEd, Inc.

RegEd is the market-leading provider of RegTech enterprise solutions with relationships with hundreds of enterprise clients, including 80% of the top 25 financial services firms.

Established in 2000 by former regulators, the company is recognized for continuous regulatory technology innovation with solutions hallmarked by workflow-directed processes, data integration, regulatory intelligence, automated validations, business process automation and compliance dashboards. The aggregate drives the highest levels of operational efficiency and enables our clients to cost-effectively comply with regulations and continuously mitigate risk.

Trusted by the nation's top financial services firms, RegEd's proven, holistic approach to RegTech meets firms where they are on the compliance and risk management continuum, scaling as their needs evolve and amplifying the value proposition delivered to clients.