RegEd

OUTSOURCING SERVICES

Industry Challenge

Financial services executives are faced with continuous pressure to reduce operational costs, while maintaining rigorous compliance. Outsourcing is regularly employed to drive cost efficiency in certain business functions; however, it is not always top-of-mind for operational functions that have a compliance component.

Today, technology advances by both regulatory filing offices and commercial solution providers have brought outsourcing Registration and Licensing operations into the realm of reality. While financial savings was the primary initial driver of the move to outsource entire business functions, firms now look to outsourcing to yield other benefits that have equal importance. Outsourcing enables the firm to maintain focus on core competencies and drive mission-critical business imperatives forward, while establishing scalability for immediate response to changing business needs.

Partnering with trusted experts to outsource specific licensing and registration transactions or an entire operation can significantly reduce costs, while enabling airtight, compliant processes that speed time-to-market and increase producer satisfaction.

RegEd Solution

RegEd offers a comprehensive suite of licensing and registration outsourcing services developed by the most experienced team in the industry. RegEd's knowledgeable professionals continuously monitor changes to the requirements and administrative procedures of each state insurance filing office, NIPR and FINRA. RegEd has led the way in establishing industry best practices centered on dramatic process efficiencies enabled by its industry-leading Xchange enterprise technology. In combination with RegEd's highly experienced team of licensing, registration and outsourcing professionals, firms can rely on RegEd to fully manage the end to end operational process and satisfy demanding compliance requirements.

RegEd can customize an outsourcing program tailored to the firm's specific needs. Outsource a single, complex or high-volume project, specific licensing or registration transactions, or the entire scope of the firm's insurance licensing and / or securities registration operations.

RELATED SOLUTIONS

Alerts 2.0

CE Central

FINRA Registration Profiles

Outsourcing Services

Producer Contracting

Registered Rep Onboarding

State Requirements

Xchange Enterprise Licensing and Registration

Using *Xchange*, RegEd's *Registration and Licensing Outsourcing Services* team can prepare the required filings and transactions, order supporting documents, validate producer data against current regulatory sources and maintain evidence of filing. RegEd *Registration and Licensing Outsourcing Services* enable firms to readily supplement their operations staffing during peak volume periods or obtain comprehensive assistance with unplanned, time-critical projects that may result from events like acquisitions.

Key Benefits

— Reduce Licensing and Registration operational costs.

— Establish scalability for immediate response to changing business needs.

— Increase operational flexibility and turnaround, at a variable cost, with no overhead.

— Gain access to unparalleled expertise and best practices and establish consistent, uniform processes that promote a culture of compliance.

— Take advantage of ongoing investment in continuous improvement and best-in-class technology, infrastructure and security with no overhead.

— Avoid IT costs associated with licensing and registration technology build-outs and ongoing maintenance.

— Refocus on core competencies and redeploy IT cycles to critical path initiatives.

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.