

**SUPPORT A CULTURE OF COMPLIANCE WITH CLEAR, CONSOLIDATED VIEWS OF COMPLIANCE OBLIGATIONS AT THE EMPLOYEE AND FIRM LEVELS**

**Industry Challenge**

FINRA continues to increase its focus on firm culture, including supervised persons’ conduct and sales practices, to ensure they comply with applicable regulations and protect investors.

Among the greatest challenges faced by broker-dealers is the ability to identify potential risks among the firm’s registered population before they cause reputational or financial harm. Given that many compliance obligations are applicable across the organization, firms must also ensure that non-registered employees fulfill their compliance responsibilities. Because requirements often originate from multiple sources, both registered representatives and other firm employees struggle to gain a clear view of their unique compliance obligations and associated deadlines.

To avoid unnecessary risks, firms must have a comprehensive view of compliance obligations at the firm level. To increase adherence to compliance requirements and ensure employee satisfaction, compliance teams must provide employees with a real-time view of specific compliance obligations and deadlines that is tailored to the responsibilities of each individual.

**New for 2017**

- **New Licensing and Registration widget lists** including Continuing Education, Appointments and Licensing
- **Enhanced Requirements widget** can display RegEd-hosted and non-RegEd requirements.
- **New Obligations widget** to ensure awareness of client-defined policies
- **Manager-Centric widgets** employee rollup tools to manage by exception
- **New Employee Lookup** to quickly lookup dashboards of direct reports

**RegEd Solution**

RegEd SCORE Risk Control Center delivers a clear, comprehensive view into the status of compliance requirements at the company level or specific to the employee. This facilitates a full understanding of pending and upcoming compliance and licensing and registration obligations, enabling users to prioritize fulfillment in alignment with critical deadlines.

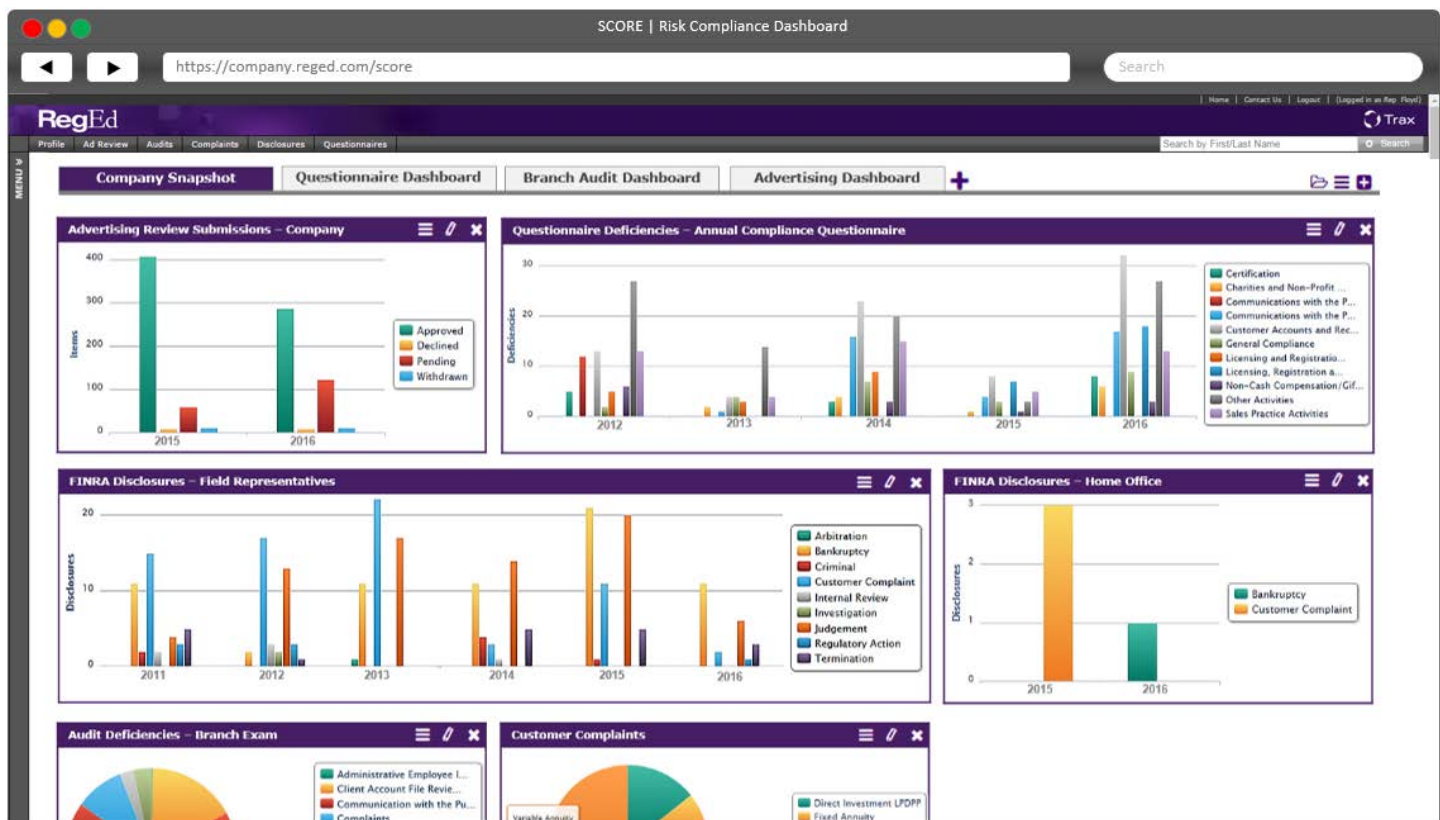
SCORE provides configurable compliance dashboards that enable stakeholders to identify trends and exceptions before the firm is exposed to potential risk. Using SCORE, compliance and audit professionals can make timely and informed decisions related to employee activities and supervision.

Two unique SCORE solutions are available for use as part of the SCORE Risk Control Center, the Enterprise Compliance Dashboard and the Employee Compliance Dashboard.



## Enterprise Compliance Dashboard View

- Create custom dashboards of key metrics and configure targeted views of specific compliance areas across your organization, branch or region.
- Includes widgets driven by FINRA Web EFT™ and RegEd compliance program data, including: Disclosures, Customer Concerns/Complaints, Advertising Review, Compliance Questionnaire deficiencies, Outside Business Activities trends and Branch Office Exam deficiencies.
- Analyze employee behavior and sales practice trends over time, by individual, branch or region, to isolate negative trends that warrant attention and to identify best practices related to hiring and supervision.
- Employ RegEd's embedded hierarchy to create detailed views at the firm, branch or individual level, which can be saved in the RegEd SCORE Widget Library for later re-use.



\*Mockups are for illustrative purposes. Inquire regarding availability of specific widgets. Widgets may require subscriptions to other RegEd applications.

## Employee Compliance Dashboard View

- Presents a single, consolidated view of critical compliance data specific to the requirements of an individual. Employees can easily customize their dashboard with widgets such as a customizable Representative Profile, External Requirements, Timeline, Licensing and Appointments, Continuing Education, FINRA Registration and Exam information, Advertisements and Notifications.
- View data at the representative level to display comprehensive compliance tasks and deadlines. Prioritize compliance needs with the aid of alert icons, notifications and email reminders.
- New employee lookup feature enables managers to quickly search and view the dashboards of employees within your span of control to evaluate compliance and perform maintenance.
- Configure new manager-centric widgets to assist in the oversight of both registered and non-registered populations.

**Individual Profile**

**Sean Wetherell**

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- Phone: 800-248-8863
- CRD: 321654321
- Hire Date: 01/01/1962
- Address: 880 Carillon Parkway, St. Petersburg, FL 33716, United States

**My Requirements**

16% Complete

Requirement	Due Date
<b>Compliance Management</b>	
• Annual Compliance Meeting	
Annual Compliance Meeting (12SALES_ACM)	01/31/2017
• Form ADV Brochure Supplement	
Form ADV Brochure Supplement	03/31/2017
• Annual Compliance Questionnaire	
Annual Compliance Questionnaire	06/25/2017
• Compliance Education - Firm Element Training	
Additional Elective Course	12/31/2017
Additional Elective Course	12/31/2017
• Completed Requirements	Completed Date

**My Group Requirements**

Span of Control: 30%

Individual	Remaining Tasks	Status
Alison B. Gale	20	20%
Joshua T. Hazeltine	16	40%
Michael S. Maynard	12	50%
Olga G. Castro	10	60%
Roberta D. Plummer	8	70%
Karen E. Elliot	7	75%
Katherine D. Lowe	4	80%
Christopher M. Woods	2	90%

**My FINRA**

Registrations: CE Status Complete

Exams: Open Exams 3, Exam Results (4)

**My Advertisements**

Tracking #	Title	Status	Final Decision	Expiration Date
1764498	Creating new marketing material	Compliance Review		
1764499	Updated Marketing Material For Review	Compliance Review		

**Notifications**

- ⚠ Bacon ipsum dolor amet ribeye chuck porchetta chicken hamburger burgdoggen meatloaf alcatraz pig bresaola ham spare ribs fatback prosciutto brisket. Hamburger ham hock chuck ribeye meatball sausage...[\(more\)](#)
- ⚠ Bring to the table win-win survival strategies to ensure proactive domination. At the end of the day, going forward, a new normal that has evolved from generation X is on the runway heading towards...[\(more\)](#)
- ⚠ Leverage agile frameworks to provide a robust synopsis for high level overviews. Iterative approaches to corporate strategy foster collaborative thinking to further the overall value proposition...[\(more\)](#)

**My Disclosures**

My GG&Cs | My OBAs | My PSAs

Name	Company	Role	Threshold
Ramona P. Hames	The Great Train Stores	Registered	10
Rudy G. Nelson	Maurice The Pants Man	ERISA	30%

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## Value Proposition



### *Strengthen Frontline Defense Against Non-Compliance Exposure*

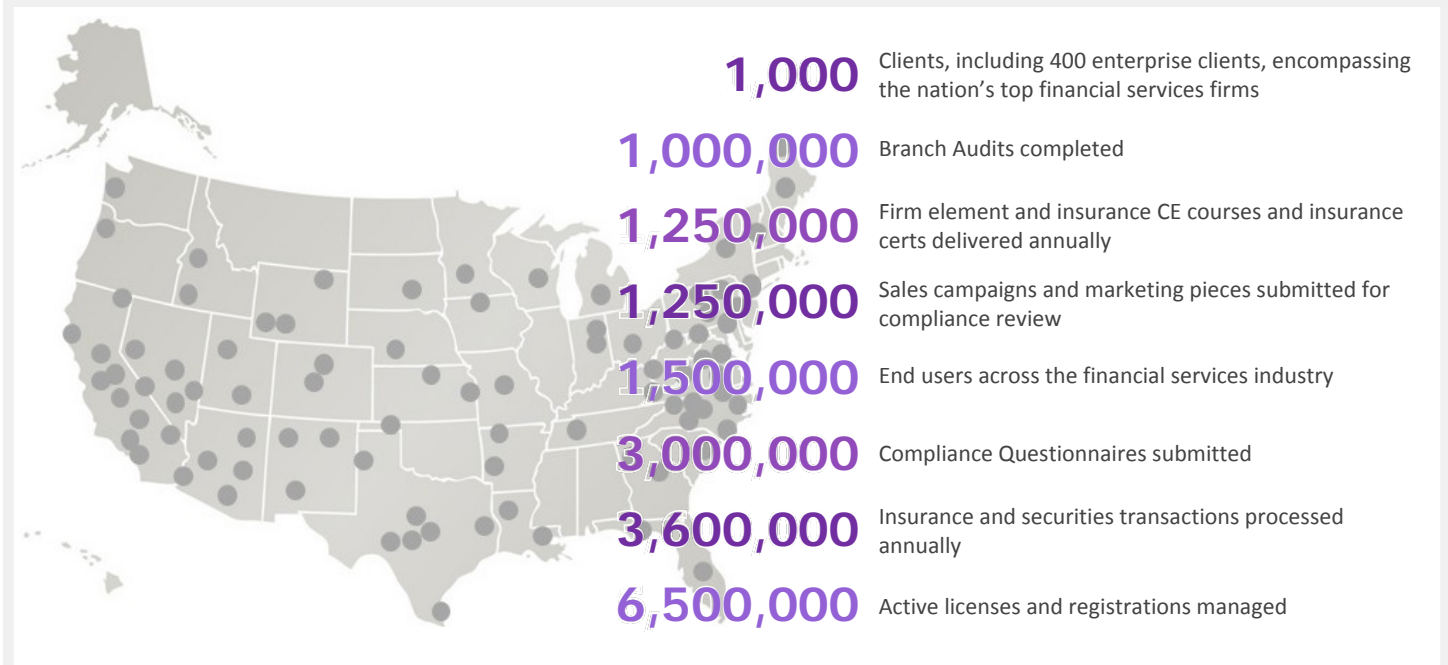
- An unmatched choice of firm-level or employee-level compliance dashboards to enable a “single version of the truth.” Compliance teams and employees can be confident that they have a current, comprehensive view of compliance obligations.
- Clearly defined requirements and simplified, intuitive user experience reduce the likelihood that individuals will overlook or disregard compliance tasks.
- Increased rate of adherence among the firm’s registered and non-registered population mitigates non-compliance and reputational risks.



### *Demonstrate a Culture of Compliance and Commitment to Consumer Protection*

- Improved employee satisfaction and more effective compliance oversight strengthen the Compliance / Sales partnership, establishing compliance effectiveness as a shared goal.
- Reporting capabilities and audit trails enable firms to readily demonstrate compliance to regulators and internal auditors.

## Why choose RegEd?



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