

## 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.

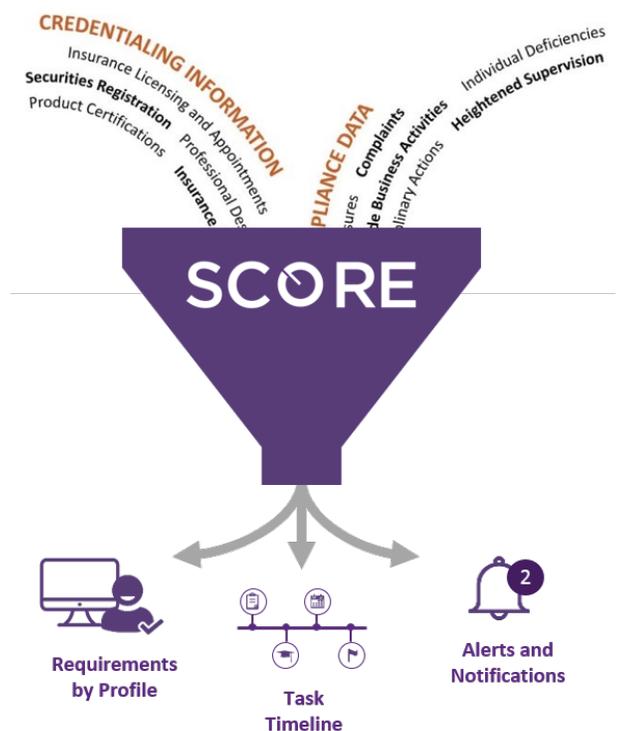
To avoid unnecessary risks, firms must have a comprehensive view of compliance obligations at the firm level. To increase adherence to compliance requirements and ensure employee satisfaction, compliance teams must provide employees with a real-time view of specific compliance obligations and deadlines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

### 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.

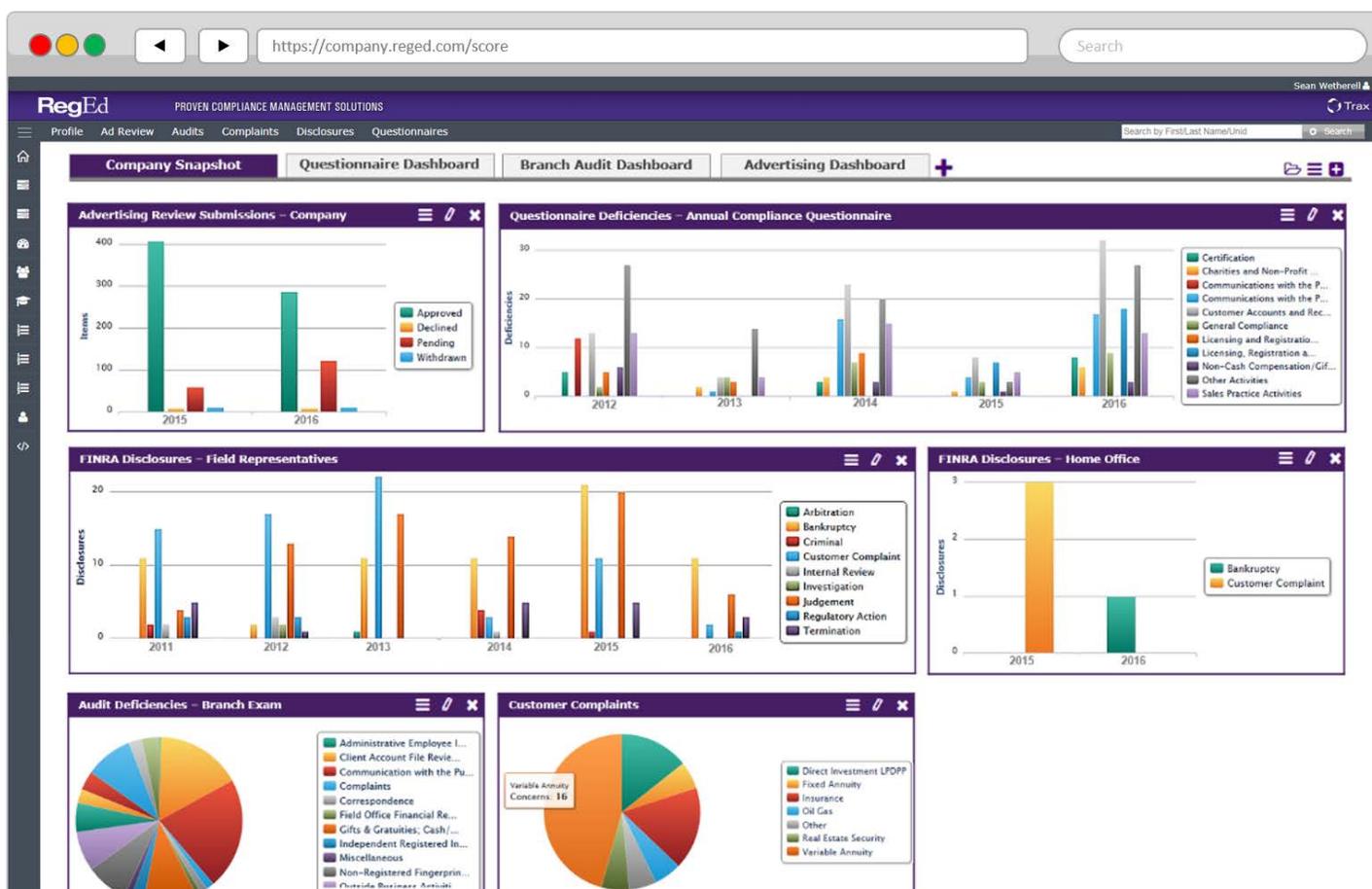
SCORE provides configurable compliance dashboards that enable stakeholders to identify trends and exceptions before the firm is exposed to potential risk. Using SCORE, compliance and audit professionals can make timely and informed decisions related to employee activities and supervision.

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.

**Profile**

**Sean Wetherell**

UNID: 5302344  
 Phone: 800-456-3254  
 CRD: 654987  
 Hire Date: 01/01/2000  
 Address: 2100 Gateway Centre Blvd, Morrisville, NC 27560, United States

**My Requirements (New)**

0 Items due in next 30 days  
 23 Items past due  
 7 Items complete

23% Complete

**My Group Requirements**

8%

Name	Incomplete Requirements	Status
Rep, Test	2	75%
Staton, Beatrice	7	50%
Robinson, Ann	30	37%
Banks, Kirsten	2	33%
Kramer, Rep	12	20%
Ryan, Rep	26	18%
Falt, Rep	25	16%
Hochman, Paul	20	16%
Durand, Rep	32	13%
Hobson, Rep	33	13%
Banks, Kirsten	17	10%
Ris, Rep	30	9%
Klemm, Rep	21	8%
Staton, Jennie	24	7%
Boquist, Rep	31	6%
Floyd, Rep	44	4%
Pouliot, Rep	41	4%
Sellers, Rep	31	3%
Riley, Rep	41	2%
Adams, Billy	1	0%
Cessna, Rep	23	0%
Pemo, Fawson	4	0%

**My FINRA Registrations | Cards**

Registrations: CE Status **Required**  
 Exams: Open Exams **0**  
 Exam Results **(4)**

**Outside Business Activities**

Bar chart showing OBA counts for 2009, 2012, and 2013.

**My Task List**

Type	Item
Advertising Review	3 Claimed, 12 Available, 123 Total
OBA Filing Queue	3 Total
Finra Registration Form Filing	7 Total
Registration Renewals	3 Total
Complaints	2 Complaints, 7 Disclosures

**New Policy and Procedure Updates**

Title	Type	Effective Date

**Policy Manuals**

Title	Action

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

## 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.

## 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.

FINRA and Web EFT are registered trademarks of the Financial Industry Regulatory Authority, Inc.