

ROBUST, SCALABLE, PROVEN TECHNOLOGY POWERS THE FIRM'S COMPLIANCE PROGRAM

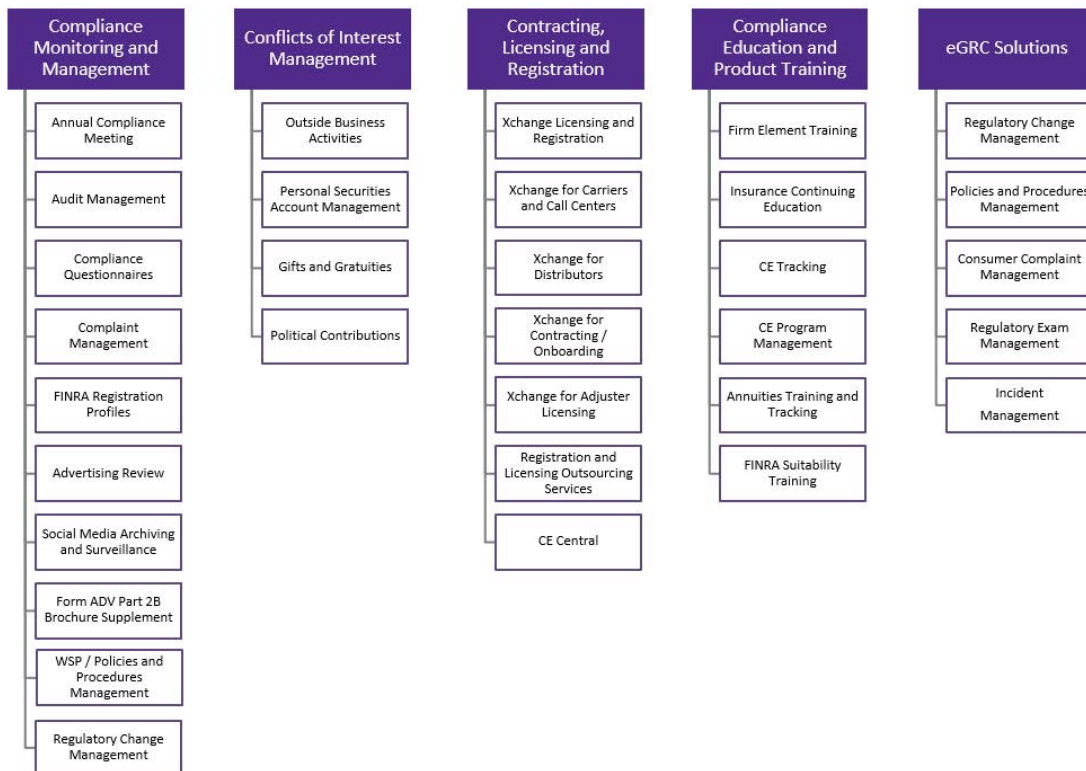
Industry Challenge

Financial services firms are subject to regulation that is broad, deep and continuously evolving. Firms must effectively implement, manage and refresh their compliance program, ensure the proper credentialing of all supervised persons; efficiently administer comprehensive audits; drive swift resolution of audit deficiencies; monitor, identify and remediate conflicts of interest; and ensure that advertising content and all communications with customers, across print, digital and social channels, are fully compliant with regulatory requirements.

These challenges must be met against a backdrop of increasing regulatory enforcement, often under an edict to do more with less. This places pressure on organizations to identify highly effective and cost-efficient strategies to manage compliance across the enterprise. The technology enablement of the firm's compliance program is central to driving the level of operational efficiency and effective oversight that enables firms to shift from "managing non-compliance" to creating a culture of compliance that withstands the most rigorous regulatory scrutiny and supports business growth.

RegEd Solution Portfolio

RegEd solutions enable firms to effectively and efficiently meet compliance obligations, proactively manage their compliance program and identify and mitigate risk.



Applications present in a common interface, optimizing usability across the application suite. Compliance data is reused across multiple applications and presented in consolidated dashboards that enable efficient execution of work processes and management by exception.

Solution Suites

The leading choice of compliance, operations and technology stakeholders across hundreds of financial services firms, RegEd's applications deliver proven, robust, compliance-optimized capabilities that enable extraordinary efficiency and strong compliance oversight, dramatically reducing the risk of non-compliance.

Compliance Monitoring and Management

- Automate and streamline FINRA compliance operational processes including Annual Compliance Meeting, Rep Attestations, Complaint Management and more.
- Automate critical oversight of representative compliance and efficiently manage the collection, analysis and reporting of critical representative compliance information required by FINRA.

Conflicts of Interest Management

- Robust platform capabilities enable comprehensive monitoring, workflow-directed task management, real-time alerts to exceptions and sophisticated hierarchy management.
- Fully integrated conflicts of interest modules capture an audit trail of requests, approvals, exceptions and remediation to provide firms with ready documentation for internal and external regulatory reporting.

Xchange Contracting, Licensing and Registration

- Fully automated, workflow and rules-driven capabilities streamline new hire contracting and on-boarding.
- Producers can self-service licensing, appointments and other transactions. Renewals are auto-generated based on key events.
- Just-in-time automatic transaction creation and full NIPR PDB data reconciliation.

Compliance Education and Product Training

- Fulfill compliance education and product training requirements, including Firm Element, Insurance CE and Annuities Training and Tracking, to build critical knowledge and satisfy industry, state and federal regulation, as well as requirements to maintain professional designations.
- Customizable courses meet firm-specific requirements while robust reporting tracks rep completion status.

Enterprise Governance, Risk Management and Compliance (eGRC)

- The CODE Platform and its suite of integrated, for-purpose applications enable insurers and other financial services firms to establish consistent, repeatable compliance processes and ensure closed-loop compliance.
- Robust work flow and task management, automatic notifications, exception management, compliance surveys and attestation management enable strong oversight so compliance obligations are fulfilled on a timely basis.

Why Choose RegEd?

RegEd is the leading provider of compliance management, licensing and registration and compliance and product education solutions to the financial services industry. Our solutions deliver unparalleled levels of operational efficiency and enable firms to cost-effectively comply and manage risk associated with state, FINRA and SEC regulation. RegEd solutions are continuously innovated and expanded using input from solution-specific client advisory boards. An investment in RegEd technology translates into extraordinary long-term value. Firms can cost-effectively build on their initial investment as their needs grow and evolve, maximizing the return and value for their compliance spend.