

AN INTEGRATED SOURCE FOR MANAGING REPRESENTATIVE COMPLIANCE

RegEd Solution

RegEd's web-based securities application enables firms to manage FINRA-related registration information for each registered representative to ensure regulatory requirements are met. Compliance administrators, supervisors, and representatives can access a comprehensive view of all new and updated Form U4 information on a daily basis. This includes SRO and jurisdiction registrations, outside activities, disclosures, CE and exam windows, results, and office locations. An automated nightly feed from FINRA's WebEFT portal ensures that all information is current and accurate. The integration of RegEd's database with WebEFT increases efficiency, accuracy, and transparency while identifying critical compliance problems.

Through full integration with FINRA WebEFT, *FINRA Registration Profiles* provides financial services professionals with timely access to registrant information, allowing them to quickly verify registration without the need to call firm administrators. A single user interface enables key stakeholders to view and maintain representative and branch registration increasing the efficiency of administrative management and compliance issue resolution. The RegEd solution also enables administrators to send customizable CE and exam window notifications to recipients defined by the firm's hierarchy.

Distinguishing Features

- Create U4/U5 filings and electronically submit to FINRA via WebEFT.
- Customizable CE and exam notifications.
- Robust reporting enables compliance administrators to track critical aspects of a rep's regulatory history, such as compliance requirements and status.



Benefits

- Reduces data errors and duplicate entries while increasing efficiency.
- Enables field supervisors to access representative FINRA information.
- Assembles representative renewal data, including costs and fees.

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 allow firms to cost-effectively comply and manage risk associated with state, FINRA and SEC regulation.

- 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.
- RegEd solutions are continuously innovated and expanded using input from solution-specific client advisory boards.
- Clients view RegEd as an extension of their organization. They are assigned an experienced implementation project team and have a dedicated support team, including a relationship manager, product support experts, and experienced, engaged customer service professionals.