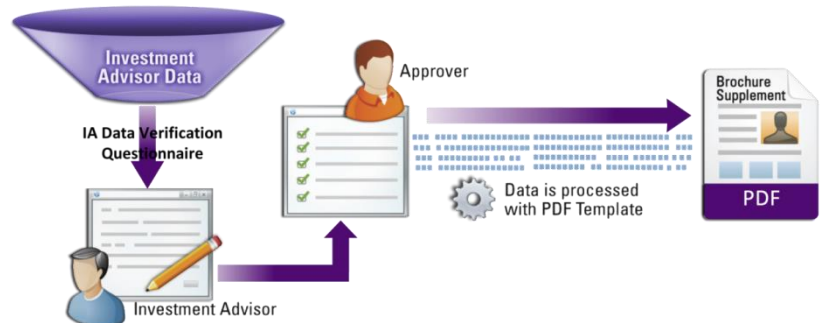


Streamline Data Collection and Simplify Compliance with FINRA ADV Part2B

RegEd Solution

Satisfying the form ADV Part 2B requirements for individual investment advisors includes distributing it to new and existing clients on a regular basis. RegEd's *Form ADV Supplement* electronic workflow solution integrates with existing representative data (stored by RegEd and/or FINRA) to streamline compliance while providing speed, efficiency and message consistency.

RegEd's event-driven supplement creation (e.g. address change, DRP update, education update, etc.) ensures that the firm's clients always have the most current supplement and are fully in compliance with SEC requirements. This efficient solution enables consistency throughout and streamlines data collections, verification and the approval process.



Distinguishing Features

- Streamlined operational procedures automate data collection, data verification and approval processes.
- Customized approval workflows leverage existing firm hierarchy and intensify supervisory control.
- Robust reporting capabilities allow the efficient management and monitoring of compliance activities.

Benefits

- Reduces the time it takes to create Part 2B by leveraging existing representative data stored by RegEd.
- Streamlines the data collection, data verification and approval process.
- Automates ADV Part 2B supplement creation with fully customizable PDFs.
- Accelerates the approval time of submissions through electronic collection, tracking and filing options.

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 for their compliance spend.
- RegEd solutions are continuously innovated and expanded using input from 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.