

## **RegEd Announces Strategic Partnership with MyComplianceOffice for Personal Trading Management and Surveillance**

*Industry Leader Selects Personal Trading Innovator to Provide Surveillance Engine for Personal Trading Manager Products for Enterprise Firms*

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MORRISVILLE, NC: RegEd, a leading provider of technology solutions for compliance and risk management for the financial services industry, announced today that it would form a strategic partnership with MyComplianceOffice. The partnership presents an integrated offering leveraging the respective strengths of each organization to ensure that broker-dealers, investment advisors and insurance companies have the industry's most comprehensive and efficient solution for managing risks associated with personal trading by their employees and advisors.

The RegEd Personal Trading Manager leverages MyComplianceOffice to provide the optimal experience for advisors and agents, and administrators. Advisors and agents will use the familiar RegEd compliance interface for disclosing trading accounts and completing mandated attestations. Administrators will have the benefit of MyComplianceOffice's industry-leading surveillance tools, which have been created for the discovery of potential insider trading, front running and other Code of Ethics violations. Both will be supported by RegEd's highly respected end user and administrator support.

Personal Trading Manager data will also be a critical component for RegEd's newest offering, SCORE for Compliance, an enterprise platform powered by RegEd's Compliance Data Warehouse that aggregates the demographic and compliance data from RegEd modules along with critical business data from internal and external systems. Algorithmic assessments of risk by representative, branch, region or firm along with the ability to undertake mitigation tasks will be among the significant benefits of SCORE for Compliance.

**John M. Schobel**, RegEd CEO, stated, "This partnership will have significant benefit for RegEd's client base. The industry has consistently expressed a strong desire to unify their compliance solutions into one platform. Together, RegEd and MyComplianceOffice will satisfy that need with a user-friendly, SaaS personal trade surveillance solution with a service model appropriate for enterprise clients. We have the perfect partner in MyComplianceOffice, which has proven itself as the leading innovator."

MyComplianceOffice and TerraNua CEO, **Brian Fahey** added, "RegEd serves more than 800,000 advisors at 500 broker-dealers, investment advisors and insurance companies. RegEd's platform and deep large firm expertise is the ideal complement to the extensive surveillance functionality offered by MyComplianceOffice. With the adoption of this solution, firms will receive an unparalleled service and technology offering."

### About RegEd

RegEd is a leading provider of licensing and registration technology and outsourcing services, broker-dealer compliance management solutions and training and continuing education for financial professionals. Since 1994, RegEd has set the standard in the industry for rule-based compliance automation and technology-enabled outsourcing services. RegEd solutions deliver new levels of operational efficiency and allow firms to cost-effectively comply with state and FINRA regulations.

## About TerraNua

TerraNua is a leading provider of risk and compliance technology solutions to the Financial Services sector in the US and Europe. The unique nature of its flagship MyComplianceOffice solution enables automation of a broad range of compliance activities and provides an unparalleled ease of use in its approach to monitoring the activities of a compliance program.

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