

ENABLE CENTRALIZED CONTROL OF ADVERTISING REVIEW, CLIENT COMMUNICATIONS, SOCIAL MEDIA AND EMAIL COMPLIANCE

Industry Challenge

A quality, effective and timely marketing communications program is central to meeting the firm's sales objectives. Firms must effectively manage the advertising and customer communications review, approval and document management processes in full compliance with FINRA Rule 2210 and other customer communication regulations. In addition, beyond traditional forms of advertising, the growth of the digital web and social channels have changed client engagement preferences offering new "storefronts" to for distribution to engage, educate, and communicate with clients and prospects.

Effectively managing advertising and customer communications review and enabling compliant social media engagement presents real challenges. Many firms struggle with redundant and inconsistent processes, suboptimal tools and a high reliance on manual processes and email. An effective advertising, customer communications and social media program must continually strike a balance between "marketing" and "compliance" and enable the firm's distribution to effectively engage across all mediums while ensuring adherence with applicable FINRA and SEC compliance regulations.

RegEd Solution

RegEd's *Customer Communications Compliance Solution Suite* enables firms to install strong oversight across the Advertising Review process, effectively monitor social media usage and maintain compliance with email and social media archiving requirements. The solution suite includes RegEd's industry-leading *Advertising Review*, which features seamless, workflow-directed routing of advertising and customer communication submissions and a rich complement of tools that streamline the end to end process.



Advertising Review

- Efficiently integrate business intelligence specifically designed to automate processes and drive efficiency in the Advertising Review cycle.
- Workflow capabilities enable ready participation at key junctures in the creation and approval process.
- Reuse approved materials from the central library, saving time and speeding the time to market for sales campaigns.
- Receive timely, in-context input from reviews to speed revisions and approval.
- Marketing platform integration creates seamless work processes between Compliance and Marketing.
- Critical KPIs measure turnaround time, drive effective oversight, enabling quantitative assessments of marketing impact.
- Full document indexing, approval history and firm-tailored meta-data enable the timely fulfillment of document requests from internal stakeholders and regulators.



Social Media Archiving and Surveillance

- Robust archiving solution enables monitoring of agent and advisor activity while supporting publishing of custom and firm-created content across social media networks.
- Access major social media platforms.
- Capture both static and interactive firm communications.
- Search, export and report on complete social media archives.
- Lexicon policies can be applied, pre- and post-review, aligned with the firm's business rules and policies.
- Launch firm-approved content from the Content Library to maintain brand integrity and reduce risk.



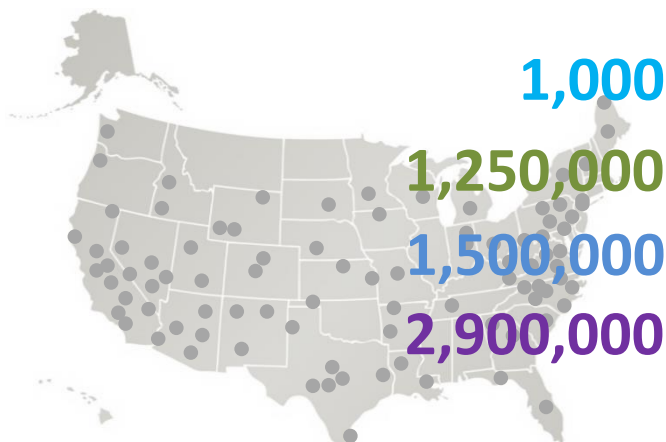
Email Archiving and Surveillance

- Efficiently monitor all email communications and house archived communications in a centralized repository.
- Automatically scan email communications for keywords and phrases based on business rules using open and customizable policies.
- Built-in audit trails, robust reporting and risk profiling positions firms to be responsive to internal stakeholders and regulators.
- Analyze the effectiveness of enforcement procedures through comprehensive reporting and search 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 enable 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 evolve, maximizing the return and value for their compliance spend.
- RegEd solutions are continuously 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.



Clients, including 400 enterprise clients, encompassing the nation's top financial services firms

CE courses and insurance certs delivered annually

End users in broker-dealers, insurance companies and brokers

Insurance and securities transactions processed annually