

## *An Extensive Course Catalog Addressing Today's Most Pressing Industry Topics*

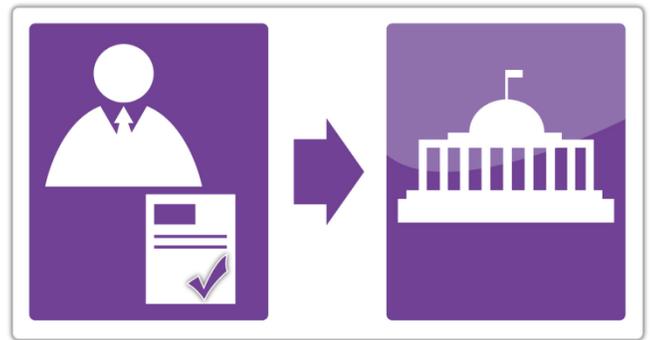
### RegEd Solution

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Founded by regulators and industry experts, RegEd understands the challenges financial services firms face when managing, reporting and tracking continuing education (CE). RegEd's *Insurance CE* solution provides timely training based upon firm and state requirements, as well as instant reporting to each jurisdiction.

RegEd offers over 300 courses approved for insurance CE and professional designation credit, produces over 300,000 certificates of insurance annually, and ten to fifteen new insurance courses are added each year. RegEd's courses are developed by a network of subject matter experts in the financial services, legal, regulation and policy arenas. RegEd also works directly with a number of clients to customize existing course materials and develop new courses according to their needs.

All RegEd courses are designed to reflect current industry issues and to satisfy industry, state and federal requirements. In addition, many courses can often satisfy a number of licensing requirements, especially for trainees with multiple licenses and registrations.



### Key Features

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- Over 300 self-study courses approved for insurance CE and professional designation credit.
- Automatically document course completions and notify the appropriate jurisdiction of the completion.
- Access a centralized database of all agent insurance certificates of completion.

### Benefits

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#### **Automate Existing Review Processes**

- Define custom submission forms to capture required data from end users.
- Create review workflows that match organizational processes and business requirements.
- Implement custom terminology, messaging and end user guidance throughout the platform.
- Configure event-driven email notifications based on business rules.



#### **Ensure Review Consistency and Data Completeness**

- Require responses from end users to ensure completeness and enable reporting.
- Implement format-based submission forms to ensure collection of relevant information.
- Employ intelligent workflows and rule-based dependencies to route each review.
- Leverage firm organizational hierarchy to enforce submission workflow consistency.



## View, Track and Control Contextual Review Information

- Retain a full history of all actions, decisions, comments, and field modifications throughout the review.
- Include supporting documentation and additional documents within all submissions.
- Control access to information by individual login or role.
- Reference submitter complaint and FINRA registration data during the review.
- Reactivate previously approved submissions which have expired in one easy step.
- Publish templates, policies, disclosures and approved materials for user access in the communications library.



## Retain, Search and Report on Meaningful Data

- Measure turnaround time by reviewer, review task or across the entire process and organization.
- Reference review workload information to streamline assignments and identify bottlenecks and inefficiencies before they impact business.
- Retrieve submission data using comprehensive ad-hoc search tools with export capabilities.



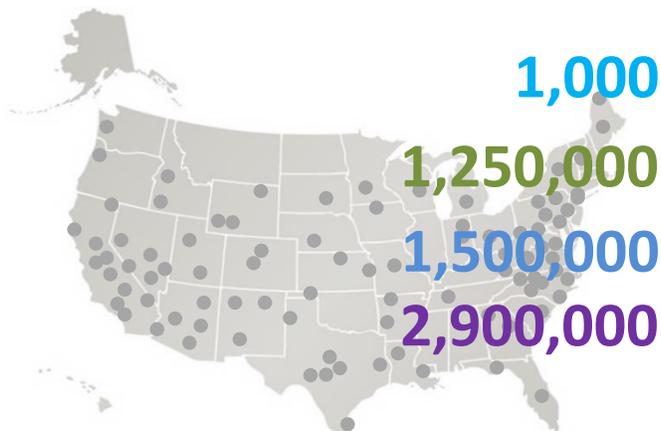
## Ensure Simple and Secure Access for All Users

- Clean and simple interface with intuitive usability.
- Access our solution via RegEd's browser based, Software-as-a-Service platform with no agents, downloads, or proprietary software required.
- Secure communication and storage of sensitive information.
- SAS 70-certified hosting infrastructure.

## 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