

## Survey on Implementation Satisfaction Gives RegEd High Scores

***100% of Clients Who Responded to Survey Would Recommend RegEd to an Industry Peer***

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Raleigh, North Carolina: RegEd, a leading provider of technology solutions for compliance and risk management, recently compiled the results of its client survey on product implementation for the first half of 2012. Of the clients that responded, overall satisfaction scores averaged 4.5 out of 5.0. When asked if clients would recommend RegEd, the overwhelming response was “yes,” with 100% of the respondents indicating they would recommend RegEd to a peer.

Between January and June, RegEd completed almost 200 full scale implementations for compliance management solutions which provide critical data and workflow automation for compliance requirements including FINRA customer communications review, branch office examinations, outside business activities supervision and state insurance licensing and appointments.

“RegEd clients have come to expect not only innovation, but also a passion for the client experience. Our success is deeply rooted in our client-centric approach,” said John M. Schobel, RegEd CEO. “Partnership’ may be an overused phrase, but for nearly two decades we have made listening to our customers and continually improving our products and processes a cornerstone of our business. Our post-implementation survey is one way we capture client feedback to help us confirm that expectations are met.”

In his response to the survey, Michael Gale, Vice President, Director of Compliance Services at SunTrust Investment Services, Inc. noted this about RegEd’s enterprise implementation team “RegEd’s competency in complex implementations is apparent - the RegEd team took a disciplined, no-nonsense approach. They fleshed out data import requirements with my team and shared industry best practices, which made it easy to finalize the data plan. They tightly managed the project plan, so despite the complexities, we stayed on schedule...they had our trust.” SunTrust implemented RegEd’s Questionnaire Management solution including annual compliance, needs analysis and annual attestation. This online system manages collection, analysis and reporting of the critical representative compliance information required by FINRA.

With increased scrutiny on advertising and promotional materials, RegEd’s Advertising Review solution saw heavy adoption this year as the industry’s first comprehensive online workflow management solution for meeting FINRA Advertising and Sales Material Compliance Review. Curt Frazier, Senior System Analyst at Thrivent Financial for Lutherans noted, “Good communication . . . Good follow up and promise keeping. Good job documenting and updating status of the project - pleasant in all aspects providing quality customer service.” Lisa Landry, Internal Compliance Officer of Allstate Financial Services, LLC had a similar response when asked what the RegEd team did well. She said, “Everything. [They]... exceeded expectations.”

After Securities America Inc.'s Carmen Mitchell, Senior Auditor, completed the implementation of RegEd's Audit Management solution, she noted that the company, "...was very prompt in responding to every email...[my account manager] did a great job of keeping me informed throughout the implementation process. "

RegEd completes hundreds of enterprise implementations for its compliance management solutions and concludes each implementation with a client satisfaction survey. For more information on RegEd's products and services, please visit the website at [www.reged.com](http://www.reged.com) or contact us at [sales@reged.com](mailto:sales@reged.com).

### **About RegEd**

RegEd is a leading provider of technology solutions for compliance and risk management serving over 800 enterprise clients including 80 of the top 100 financial services firms. Established in 1994 by former regulators, the company is a recognized industry authority and has created the standard of excellence for rule-based compliance automation for broker-dealers, investment advisors, insurance companies and their distributors. Our client-driven solutions deliver superior operational efficiency and enable firms to cost-effectively comply with state and FINRA regulations while mitigating risks before they occur.