

ROBUST TECHNOLOGY, CONTENT POWERS THE FIRM'S COMPLIANCE PROGRAM

Industry Challenge

Licensed insurance agents, registered representatives and financial advisors must meet firm-mandated and regulator mandated requirements for compliance education, code of ethics training, insurance and securities continuing education and training on the investment products they sell. Additionally, they must fulfill education requirements to maintain the professional designations they hold.

Financial services firms must ensure that their employees, agents and representatives are aware of and fulfill their ongoing compliance education requirements, are highly knowledgeable about the investment products they represent and understand and comply with the firm's corporate training. Doing this is one of the most important ways that firms can increase the effectiveness of their distribution channels, while reducing non-compliance and the associated risk exposure.

RegEd Compliance Education and Product Training Suite

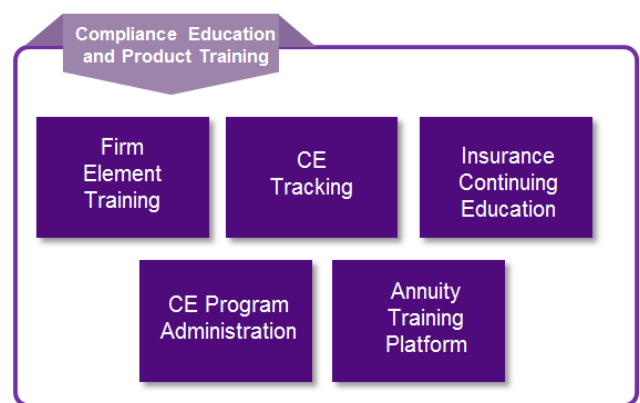
RegEd is the leading provider of Compliance Education, Product Training and Annual Compliance Programs to the financial services industry. Each year RegEd delivers more than one million CE courses and insurance certificates. RegEd pioneered the industry-leading Annuities Training Platform, and, in partnership with the Insured Retirement Institute (IRI), delivers product training and state suitability courses to close to 200,000 producers representing more than 80% of annuities carriers.

RegEd's comprehensive course library includes hundreds of courses that are approved to meet state continuing education requirements and fulfill professional designation requirements including CFP, CIMA and CPE. Courses cover a variety of topics designed to meet the needs of life and health, annuities, property and casualty producers, as well as adjusters. RegEd also offers classroom equivalent insurance CE courses in in select states.

RegEd's learning management technology streamlines the creation of the firm's annual compliance program, simplifies course enrollment and provides access to timely course materials. This enables the firm to efficiently administer the firm's training program and track course completion, while providing users with intuitive access to training and CE courses to readily fulfill their training and continuing education obligations.

Custom content services are also available. RegEd can create programs that engage the firm's users and achieve maximum CE credit. In addition, RegEd can design and implement a custom, branded Virtual University and Voucher Program designed to attract producers to the firm's site, increasing their loyalty and reinforcing the firm's marketing message. The program includes:

- Fully branded site
- Course catalog tailored to your products
- Branded voucher cards
- Redemption reports



Distinguishing Capabilities

All solutions in the suite leverage RegEd's powerful platform capabilities. Producers enjoy a user-friendly interface and interactive learning elements that allow them to focus on the training material. Comprehensive reporting capabilities enable firms to efficiently manage their training program.

- Full tracking capabilities provide a view associated to an individual, while ensuring that all producers are kept up-to-date on regulatory requirements that must be fulfilled.
- Each compliance education and product training module applies state and professional designation training rules and ensures appropriate completion that allows regulators to award continuing education credit.
- Enterprise reporting capabilities provide key stakeholders and regulatory entities with comprehensive reports indicating the status of course completion and compliance requirement fulfillment.

RegEd's Compliance Education and Product Training solutions deliver extraordinary efficiency and enhance the quality of regulatory education through high-quality content, effective delivery and streamlined compliance.

Compliance Education and Product Training Solution Suite



Firm Element Training

- Comprehensive course library addresses current industry and compliance topics, while satisfying industry, state and federal regulations.
- Easily complete all assigned annual requirements using a single, user-friendly interface.
- Reinforce knowledge and comprehension through real-world case studies and rich graphical content.
- Monitor, track and report on each representative's fulfillment progress and completion status.
- Confirm that CE fulfillment is within specified windows through automated program email reminders.
- Customize course material to meet firm-specific requirements.



CE Tracking

- View a single, comprehensive snapshot of each producer's profile, including current licenses held and jurisdictional requirements.
- Automate the import of completed courses into CE Central from 3rd party vendors.
- Send email notifications to users regarding CE requirements and upcoming deadlines, license renewal dates and courses pending completion.
- Access comprehensive reports on course completion.



Insurance Continuing Education

- Over 350 courses including hundreds that are approved to meet state continuing education requirements.
- Convenient access to CE requirements and course enrollment options simplifies the management of producer compliance with state-specific CE requirements.
- Utilize online affidavits to ensure all mandatory information is included for submission to states.
- Quickly deliver electronic certificates of completion for insurance continuing education credit to agents who complete their CE requirements through RegEd.
- Maximize CE fulfillment by ordering credit for professional designations, including CFP, CIMA and CPE.



CE Program Administration

- Automate the time consuming process of executing classroom CE programs while ensuring compliance with all state DOI regulatory requirements.
- Utilize administrative features to efficiently roster courses and instructor filings with the state.
- Effectively manage all submissions, approvals and notifications to key stakeholders and regulators.
- Easily track class attendance and receive notifications upon course completion.



Annuity Training Platform

- Simplify the NAIC's Annuity Training requirements for producers, insurance carriers and broker-dealers using a comprehensive, easy-to-use platform.
- Provide producers with carrier-specific training on product features.
- Complete the required state suitability and carrier-specific product training on one shared platform.
- Automate notifications to carriers and associated distributors once a producer completes required training.
- Easily access the ATP platform to run reports and verify course completions.

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. RegEd solutions are continuously innovated and expanded using input from solution-specific client advisory boards. 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 and value for their compliance spend.