

Reduce Risk with a Systematized Approach to Managing IT, Cybersecurity, Ethics and Compliance Incidents

Industry Challenge

As the burden of managing of IT, cybersecurity, and ethics and compliance requirements becomes more onerous, organizations must efficiently capture and track reported incidents and compliance issues exposed as part of an audit, regulatory examination or testing program. Timely response procedures, and an ability to demonstrate effective remediation, are critical to mitigating non-compliance risk and related consequences.

Organizations that employ a manual process - utilizing email, spreadsheets or internally developed solutions - are challenged to capture and track incidents and ensure that all remedial tasks are completed within the prescribed timeframe. Many firms take a decentralized approach to incident management, which often results in information silos across departments and business units. Such an approach impedes critical transparency into incidents and remediation activities across the enterprise, which precludes the identification of important trends and fails to properly close the loop on incident resolution.

To reduce risk, insurers and financial services firms must establish a centralized process that enables Compliance and business owners to have strong oversight and management of reported incidents.

RegEd Solution

CODE Incident Management, powered by the *Comply On Demand Enterprise (CODE™)* Platform, enables firms to fully manage the lifecycle of IT, cybersecurity, and ethics and compliance incidents throughout the organization. The solution installs a best practice methodology to capture, track, and resolve incidents that drives efficiency and mitigates risks associated with incidents and compliance issues.

CODE Incident Management provides end-to-end control and oversight of incident management processes. Incidents can be captured from internal and external sources and assigned a unique case ID to monitor remediation through completion. Robust task and workflow management capabilities enable an efficient process to undertake remedial actions in a closed-loop system. Further, access to incident data can be restricted to the appropriate response personnel, and the system can be configured to automatically trigger response procedures based on incident type.

CODE's comprehensive reporting capabilities provide a unified view of incident and remediation data by regulation, risk category or business impact. Complete documentation related to each incident, along with a full audit trail of the firm's remediation actions, is memorialized in a central repository.



Distinguishing Capabilities

- Incidents can be captured from internal and external sources and assigned a unique case ID to monitor remediation through completion.
- Robust task and workflow management capabilities enable the assignment and tracking of all incidents, and an efficient process to undertake remedial actions.
- Enterprise reporting provides a real-time, consolidated view of incident and corrective action data by regulation, risk category or business impact.
- Complete documentation related to each incident, along with a full audit trail of the firm's remedial program, is captured in a central repository.
- Access to incident data can be restricted to the appropriate response personnel, and the system can be configured to automatically trigger response procedures based on incident type.

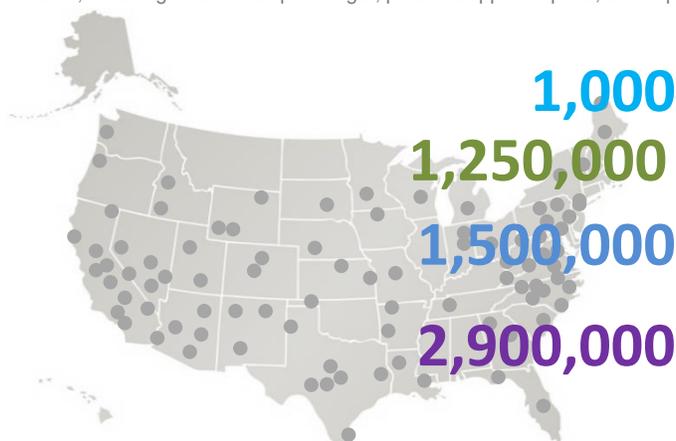
Key Benefits

- Centralized incident tracking and remediation provides critical transparency into the status of reported incidents and their resolution.
- Ability to respond to incidents on a timely basis minimizes the negative impact of incidents and compliance issues.
- Memorialization of remediation efforts ensures ready preparedness for market conduct exams.

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

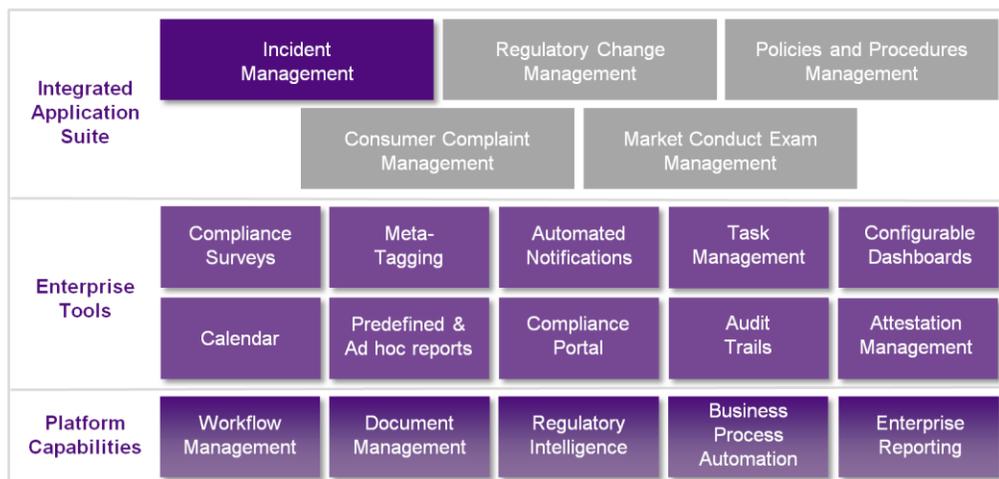
Insurance and securities transactions processed annually

CODE Platform Capabilities

Comply On Demand Enterprise (CODE), RegEd's Enterprise Insurance Compliance Management Platform, enables financial services firms to effectively and efficiently meet compliance obligations and proactively manage their compliance program, dramatically reducing the risk of non-compliance and related consequences.

The *CODE* Platform and its suite of integrated, for-purpose applications and proven, robust, compliance-optimized capabilities drive extraordinary efficiency and oversight and enable firms to establish consistent, repeatable compliance processes and ensure closed-loop compliance.

CODE's rich task management capabilities provide visibility into the fulfillment status of compliance obligations to ensure that gaps are closed across the compliance lifecycle. Platform capabilities also include robust workflow management, automatic notifications and exception management, business process automation, compliance surveys and attestation management.



Applications present in a common interface, optimizing usability across the application suite. Compliance data is reused across multiple solutions and presented in consolidated dashboards that enable efficient execution of work processes and management by exception. Built-in audit trails, robust reporting and risk profiling enable ready preparedness for regulatory exams and position firms to better withstand the scrutiny of regulators.

CODE is fully configurable, scalable and extendable, to enable companies to cost-effectively build on the initial investment as their needs expand and evolve.

Regulatory Change Management

Delivers actionable regulatory intelligence and enables insurers to be aware of, comply with, and demonstrate compliance with all relevant regulatory changes.

Policies and Procedures Management

Provides enterprise workflow, work-process and task management to enable comprehensive, end-to-end administration and oversight of all elements of the firm's policies and procedures.

Consumer Complaint Management

Enables the firm to systematically capture, track and efficiently manage the resolution of consumer complaints.

Market Conduct Exam Management

Provides the ability to effectively manage all tasks undertaken during the course of a regulatory examination.

Incident Management

Enables the firm to capture, assign and track all incidents and installs an efficient process for undertaking remedial actions.