



A KAPLAN COMPANY



# Enterprise Compliance Solutions

Audit Management System

Annual Compliance Questionnaire

Annual Compliance Meeting

Firm Element

## Kaplan and SmartPros® have teamed up to deliver a suite of online compliance solutions for your enterprise:

- Audit Management System (AMS)
- Annual Compliance Questionnaire (ACQ)
- Annual Compliance Meeting (ACM)
- Firm Element CE—Extensive course library through our award-winning LMS

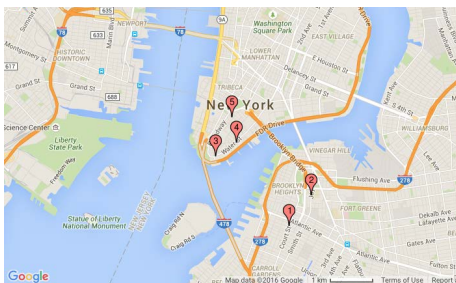
### Audit Management System

SmartPros' Audit Management System (AMS) is a robust, online audit platform that supports any size or type of financial services organization, from banks and broker-dealers to investment advisors and more. SmartPros' AMS currently manages branch-office audits that cover over 10,000 locations, more than 25,000 advisors/ reps, and is used daily by over 250 auditors and staff who oversee 10,000+ annual audits.

### Key AMS Features:

- Scheduler interface with mapping tools for geo-route planning
- Configurable solution with workflows and roles set up around your processes
- Dashboard with alerts and clickable links to monitor each audit stage
- More efficient process for branch personnel to submit audit responses
- Automated remediation letters
- Comprehensive reporting documentation, including a full audit trail with date/time stamps
- High quality, responsive customer service from implementation and account management teams

### Branch Search & Scheduling



### Audit Trail Tracking & Reporting

Branch ID	Manager	City	Type	Due Date	Units	Status
08MA	Lastname, Firstname	Los Angeles, CA	Satellite - IS	04/07/2018	0.75	Central Review

ADDRESS	BRANCH DETAILS	BRANCH EXAM DETAILS
1349 S. Hill Street, Los Angeles, CA, 90015-2117 Tel: (000)000-0000	Branch ID: 08MA Manager: Lastname, Firstname Manager ID: 0000 Office Type: Y Active: Y Number of advisors: 1 Office Sub Type: IS HOS Last Exam: ExamineeName Previous Last Examover: ExamineeName # No Of Units: 0.75 Audit Due Cycle: Default	Branch Exam ID: 0601 Branch Exam Type: Approved Audit Contact: Audit Contact1 Last Exam: Audit Examiner Calculated Due Date: 04/07/2018 Alerted Due Date: --/-- Scheduled Date: 11/2/2016 8:00 AM PST Scheduled End Date: 11/2/2016 1:00 PM PST Status: Central Review Duration: 6.5 Re-Audit: No

WORKSHEET	ACTIVE
Demo Questionnaire	Print Start Online Download Cancel Download Upload

DATE AND TIME	BRANCH EXAM STATUS	AUDIT MESSAGE
2/10/2016 5:06 PM PST	Central Review	A QA Manager has reviewed and accepted all Remediation responses and passed on the Audit to Central Review Group
2/10/2016 4:58 PM PST	Response Sent	A Contact has reviewed the Remediation Letter and responded to remediate.
1/13/2016 3:28 PM PST	Remediation Letter Sent	A QA Manager has approved the Remediation Letter
1/13/2016 3:26 PM PST	QA Group Review of Remediation Letter	Review of Remediation Letter is in progress by Audit QA Review.
1/13/2016 3:25 PM PST	XYZ Examiner Review Complete	Remediation Letter has been reviewed by A Examiner and sent to QA Group
1/13/2016 11:42 AM PST	XYZ Examiner Review	A Demo has finished the practice exam worksheet and the default Remediation Letter has been generated.
1/11/2016 9:02 PM PST	Worksheet in Progress	Branch Exam Worksheet is in progress by A Central Reviewer
1/10/2016 1:34 PM PST	Scheduled	A Exam Manager has Scheduled a branch Exam.

Schedule audits through refined calendar management tools, including a map-based interface that enables managers and auditors to plan and finalize their route to each location.

Full reporting and tracking capabilities that allow managers and compliance personnel to follow each stage of the audit to closure.

### Annual Compliance Questionnaire (ACQ)

The SmartPros' ACQ system is a robust, client-data driven platform that stays up-to-date with data feeds from your system. Advisors/ reps can easily access and complete ACQ surveys from a link on any web page or email. Managers then access survey results on a group/region or individual basis, with drill-down report filters that can identify potential risks or trends. Using our proven templates, your administrators can edit individual ACQ questions or work with SmartPros to create new ACQ modules pertinent to your firm's business practices.

### SmartPros' ACQ supports 20 question formats, including:

- Multiple-choice
- Yes/No
- Likert questions
- Kirkpatrick analysis
- Instructor evaluation

## Firm Element...

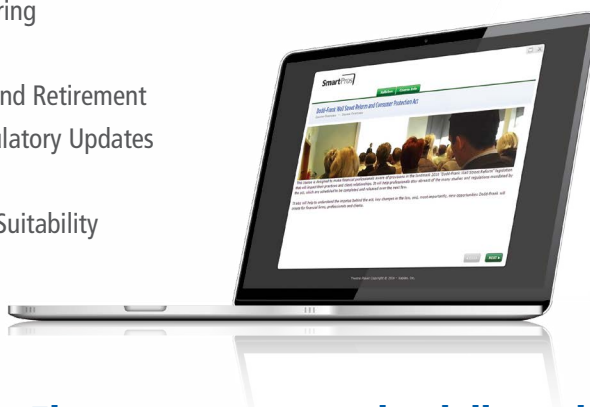
### Stay Compliant, Remain Successful!

Powered by SmartPros, Kaplan's Firm Element platform is a student-friendly turnkey solution for delivering required continuing education, with supervisory oversight and tracking. The system incorporates all essential components your firm needs to deliver effective training while also meeting regulatory requirements and exceeding industry standards. The SmartPros Firm Element platform is a flexible, integrated system that includes:

- **Needs Analysis:** Following regulators' guidelines, your reps, or team tasked with needs analysis, can complete their survey quickly and easily through an efficient online process.
- **Plan Document:** Upon completion of the Needs Analysis, we will work at your direction to implement your firm's training plan, including course selection, delivery media, and tracking methods.
- **Course Library:** SmartPros has hundreds of course titles that can help you design an effective curriculum for your firm; many are approved for insurance CE credit as well. All courses are delivered online, including completions and scoring/verification.
- **Tracking and Reporting:** Any online courses taken by your reps are immediately added to your compliance tracking system. Our automated communication and reminder features will streamline the job of keeping your reps on-track in meeting their assigned deadlines.

### Firm Element Course Categories

- Annuities and Variable Products
- Anti-Money Laundering
- Ethics
- Financial Planning and Retirement
- Marketing and Regulatory Updates
- Mutual Funds
- Sales Practices and Suitability
- Securities
- Supervisory



**SmartPros' Firm Element courses can be delivered on a 3rd party LMS via AICC and SCORM.**

### Annual Compliance Meeting (ACM)

Experience what it means to have a client-data driven ACM solution! You can deliver your ACM through our platform or build it using SmartPros' existing modules. SmartPros has developed a collection of video-based ACM topics produced at our state-of-the-art production facility. You can select segments appropriate to your firm's ACM to be delivered through a platform that is not only rep-friendly, but fully compliant with FINRA Rule 3010(a)(7) supporting virtual on-demand delivery of ACMs. This maximizes your reps' flexibility to complete this requirement on their schedule while allowing you to take full advantage of data feeds, tracking, and automated reminder features that help ensure your firm meets established deadlines.

### SmartPros' ACM Features

- Customized or prerecorded presentations
- Administrator dashboards to monitor completion status
- Polling questions to validate attendance
- Printable reports
- Automated email reminders
- Participant resource center for proprietary compliance documents