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RegEd Announces Next-Generation Trade Supervision and Account Monitoring Solution to Advance Investor Protection

RegEd SmartCompli, Powered by InvestEdge, Delivers the Most Advanced, Comprehensive Solution in the Industry

Raleigh, NC, July 25, 2023 (GLOBE NEWSWIRE) -- Today RegEd announced [SmartCompli](#), which employs advanced technology and a proprietary data model that aggregates and normalizes trade, account and KYC data, from all major clearing and custody firms, as well as direct business. SmartCompli is integrated with RegEd's market-leading Xchange Registration solution, enabling instant validation of advisor credentials to ensure that trades are made compliantly. This eliminates the need for firms to manage data exports on a continuous basis.

Joe DiAngelo, EVP Sales at RegEd discussed the typical challenges confronting the industry. "Today firms have to grapple with legacy trade supervision systems that don't address the shift from brokerage to hybrid / advisory business models. In addition to being costly to maintain and upgrade, the capabilities of current solutions fall short, requiring analysts to undertake manual processes with incomplete data sets." DiAngelo continued, "RegEd SmartCompli, powered by InvestEdge, provides a 360° view across brokerage, advisory and direct business, in a single pane of glass, within an easily configurable system".

RegEd SmartCompli combines an extensive rules engine that supports SEC, FINRA and NAIC regulations such as Reg BI, FINRA Rule 3110 (Supervision) and FINRA Rule 2111 (Suitability) with an expert team of data analysts to ensure continuous rules optimization, a pristine customer experience and ongoing compliance.

RegEd CEO, Frank Brienzi, stated, "I'm excited about our partnership with InvestEdge and our new SmartCompli solution, which is fully aligned with RegEd's mission and purpose: to protect investors and policyholders by ensuring securities and insurance products are sold compliantly." Brienzi continued, "SmartCompli, along with the full suite of RegEd solutions, serve to greatly reduce risk for financial services firms and insurers".

RegEd SmartCompli is able to apply specific alerts with specific parameters to specific account groups with Security Master Product classifications to greatly reduce false positives. This allows supervisors to focus on more issues that are above the firm's risk profile and find the proverbial needle in the haystack.

Jeff Cowley, InvestEdge President, concluded, "We are pleased to partner with RegEd, the market leader in financial services, insurance and wealth management compliance. The integration of our world-class Trade Supervision solution within RegEd's compliance management product suite, delivers a new, unique, and cost-effective value proposition to the industry."

About RegEd

RegEd is a leading provider of RegTech enterprise solutions that address Advertising Review, Conflicts of Interest, Audit Management, Compliance Disclosures, Regulatory Change

Management, Onboarding, Licensing and Registration, and more. RegEd works with hundreds of enterprise clients, including 80% of the top 25 financial services firms.

Established in 2000 by former regulators, the company is recognized for continuous regulatory technology innovation with enterprise-grade solutions hallmarked by workflow-directed processes, data integration, regulatory intelligence, automated validations, business process automation, and compliance dashboards. The aggregate drives the highest levels of operational efficiency and enables clients to cost-effectively comply with regulations and continuously mitigate risk.

<https://www.reged.com>

About InvestEdge

InvestEdge software protects the reputation and operational integrity of bank trusts, broker-dealers, and RIAs by reducing the risk and cost associated with providing investment management advice in an evolving regulatory environment. For over two decades, many of the largest financial institutions in the U.S. have relied on InvestEdge for mission-critical software and highly sensitive data management. <https://www.InvestEdge.com>