Dearborn Learning & Compliance Manager™

Seamless integration boosts productivity and minimizes risk

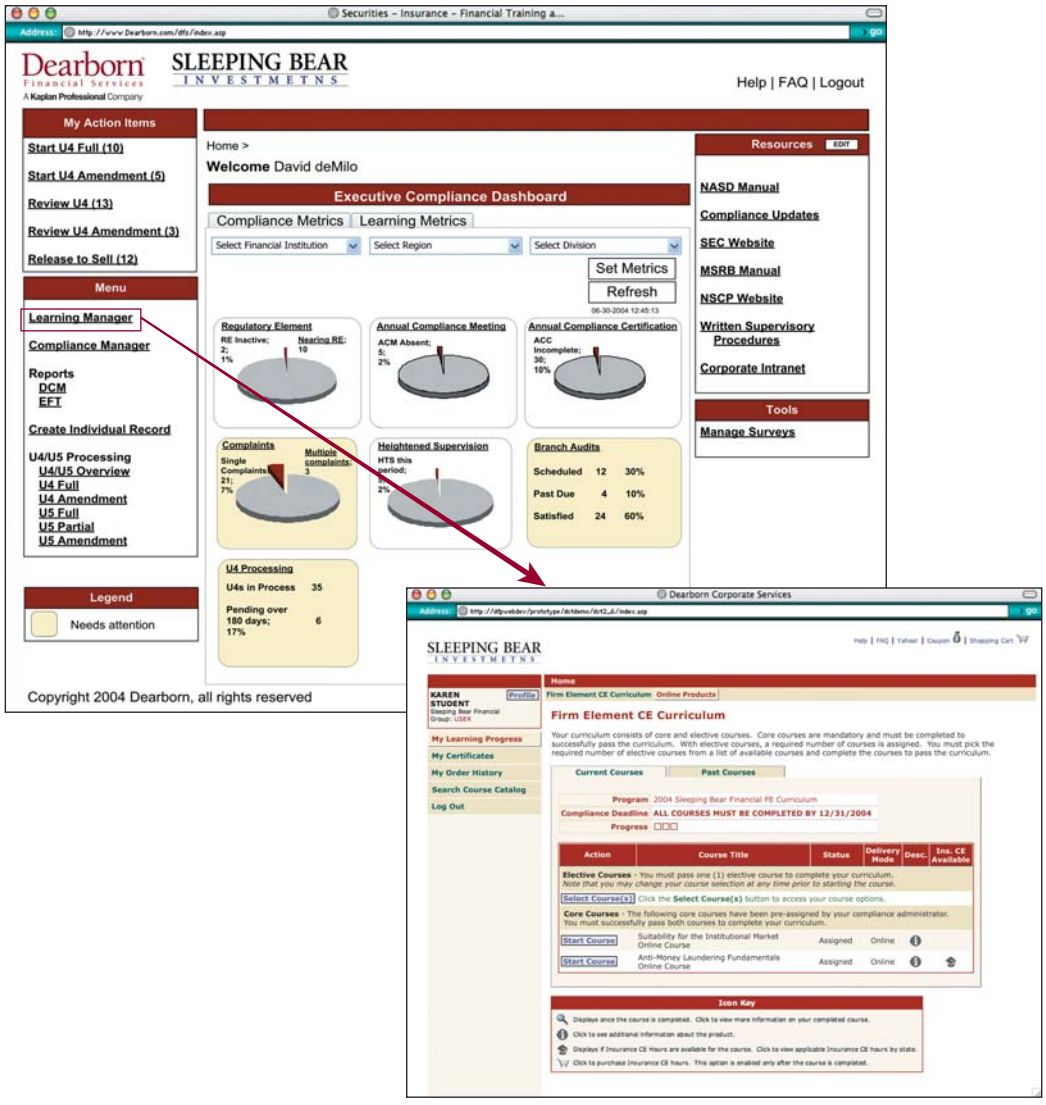
Dearborn™
Financial Services
A **Kaplan Professional** Company

Dearborn Learning & Compliance Manager™ Overview

Dearborn Learning & Compliance Manager™ is a comprehensive suite of e-tools and services that integrates the mission-critical tasks and workflow associated with managing the representative/producer lifecycle to enable organizations to:

- minimize compliance risk;
- get representatives/producers selling faster and more efficiently; and
- reduce administrative costs.

My Portal



Dearborn Learning Manager™

Solution Overview

This comprehensive solution provides a single source for the critical activities associated with learning and compliance. With our system, organizations have a central point of integration among Dearborn offerings, their own learning management system (LMS), and internal systems like broker/dealer trading and human resources systems.

Our suite of tools and services includes the following.

- **My Portal** serves as a central gateway and intelligent first landing page for users. My Portal provides a custom view and links for each user group and includes a dashboard with essential alerts, a to do list, and must-view reports.
- **Dearborn Compliance Manager™** offers a suite of tools to help organizations establish best practices for their key compliance activities. Dearborn Compliance Manager also helps organizations proactively monitor and manage the critical tasks associated with regulatory requirements. Key tasks include registered representative registration, complaint management, and record management.
- **Dearborn Learning Manager™** offers enrollment and curriculum management and tracking and reporting services to help organizations create, implement, and manage firm-wide learning programs. Organizations have the flexibility to create customized firm element, licensing, and continuing education programs to meet the requirements of each of their learner groups.

Single-source solution for the critical activities associated with learning and compliance

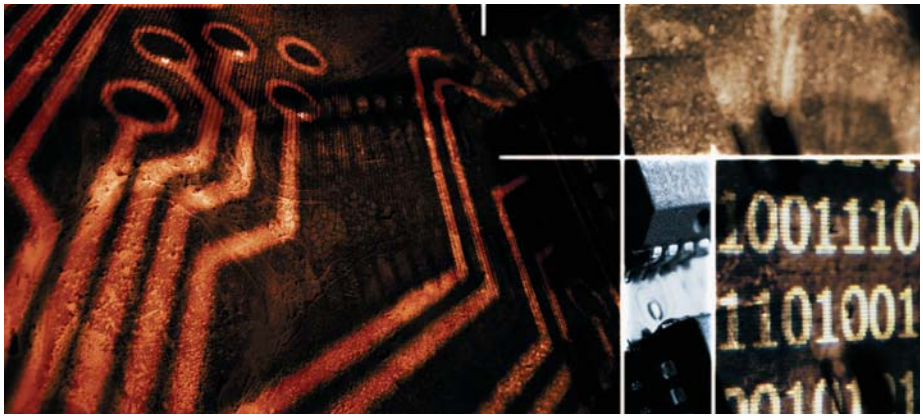
Why Dearborn?

› **Total integration saves time and money.**
Our solution integrates course content, learning management, and compliance tools and services. It also provides integration with critical legal, human resources, finance, regulator, and broker/dealer systems. This helps organizations boost productivity, minimize compliance risks, and save time and money.

› **Industry expertise helps ensure compliance.**
We offer customers a team of experienced compliance professionals who understand the regulatory landscape and requirements and can help recommend best practices for compliance workflow processes.

› **Easy access to information maximizes risk control.**
Compliance officers and other managers get maximum control over risk exposure by providing critical data to all need-to-know personnel and departments through a central database. This helps reduce the potential for regulator sanctions and fines and enables the firm to pass internal mock audits.

› **Secure and scalable architecture helps ensure confidentiality.**
Dearborn Learning & Compliance Manager is delivered using industry standard tools that are based on Oracle® portal and database technology. Our system is designed for enterprise integration and scalability, and provides a highly secured single sign-on environment.



My Portal

My Portal provides an intelligent home page that integrates a customizable dashboard of risk and productivity indicators with links to action items, key compliance and learning applications, and detailed exception reports.

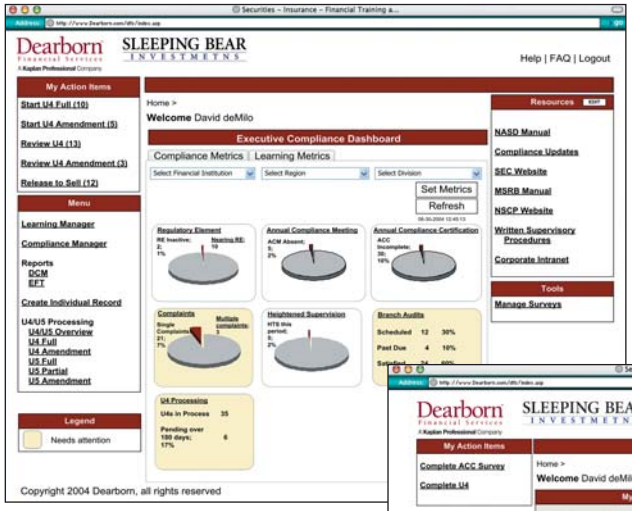
Manage from the Dashboard

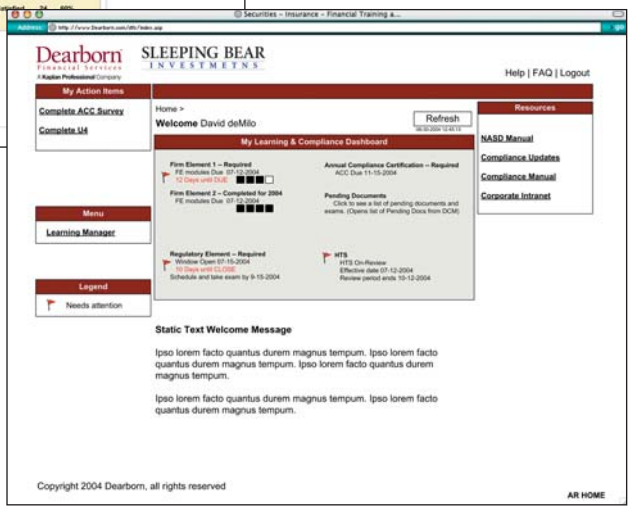
Dearborn Learning & Compliance Manager offers an at-a-glance dashboard of key risk and productivity measures. A custom alarm value is set for each measure to alert the user to a situation that has reached an actionable level.

Gain maximum control over risk and increase productivity with reports that monitor:

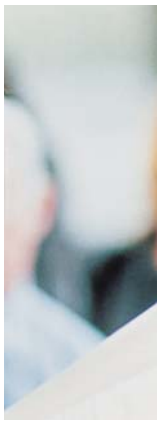
- ratios of complaints by the firm and by the registered representative;
- the status of representatives on heightened supervision;
- the timeliness of annual meetings and certification surveys; and
- the completion of Firm Element and Regulatory Element CE.

Compliance Officer Dashboard





Agent - Representative Dashboard



News

News offers an easy-to-use publishing tool to increase communication among management, representatives, and producers. Compliance officers can publish relevant company or program information, link to additional sources of information, alerts, and more. News can be sent via email or directly to the registered representative or insurance producer's home page and then archived for reference at a later date. News will be available in early 2005.

Surveys

Surveys provide a service that enables compliance and training professionals to create and publish surveys and polls to selected producer and representative groups. Responses are automatically recorded in a database and can be accessed through an easy-to-use report.

Electronic U-4/U-5 Processing

Our web-based system offers electronic form preparation to streamline the labor-intensive process of preparing and filing U-4 registrations and U-5 terminations. Our intuitive interface helps users prepare forms quickly and accurately and includes a workflow process for form approval and submission to regulatory agencies like the NASD.®

Our system provides a seamless interface with the NASD Web CRD for form filing and Web EFT for data uploads and downloads. Users have all of the critical compliance information regarding their registered representatives automatically updated in Dearborn Compliance Manager.

Prepare and electronically file U-4s and U-5s quickly and easily.

Learning and Compliance Reports

Our system offers a robust suite of learning and compliance reports that enables administrators and individuals to track learning and compliance progress quickly, in one place.

The system provides:

- reporting of all orders, enrollments, and certificates issued;
- detailed completion requirements through curriculum reports;
- multi-level management reports;
- complete compliance and continuing education tracking reports;
- exception reports for remediation and regulator audits;
- the ability to monitor the ratio of complaints by registered representatives;
- identification of registered representatives who are on heightened supervision;
- productivity measures relating to annual certifications, unprocessed U-4s, and unresolved complaints; and
- custom reports that can be developed for your firm for an additional fee.

Dearborn Compliance Manager

Dearborn Compliance Manager offers workflow management tools to help organizations establish best practices for their key compliance activities.

Key capabilities include:

- records management;
- annual certifications;
- complaint management;
- heightened supervision tracking; and
- insurance CE management (coming soon).

Records Management

This robust database provides compliance professionals with fingertip access to the most current registered representative and insurance producer information in one centralized database. This consolidation allows organizations to proactively mitigate risk—the risk of losing a license, getting hit with penalties for non-compliance, or the costs associated with last-minute scrambling by registered representatives and insurance producers to identify and address unfulfilled requirements.

Easy-to-use tools enable users to maintain individual records, and to add new licensing data quickly and efficiently via the system's intuitive web interface. Relevant license information includes: securities and insurance continuing education, annual compliance questionnaire answers, customer complaints, branch audit history, attendance at annual compliance meetings, U-4 information, registration status, contact information, and carrier appointments.

Annual Certifications

Dearborn Compliance Manager offers customizable annual compliance certification surveys and automatically updates your registered representative's compliance status.

The service offers:

- responses that are captured and tracked;
- actions for affirmative responses;
- actions for negative responses;
- links to internal references such as compliance memos; and
- customized links to relevant websites like the NASD.

Complaint Management

Our complaint management service tracks and reports on customer complaints and includes current and future actions. The system is designed to help organizations comply with the NASD Rule 3070 quarterly complaint reporting requirements.

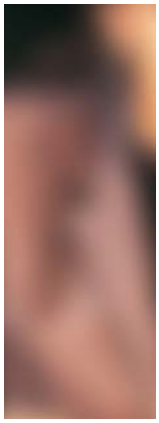
All the fields required for reporting to the NASD are collected in Dearborn Compliance Manager and a report is generated that matches the NASD reporting template. Security levels (view permissions) are available by organization role.

Heightened Supervision Tracking

In addition to focusing on customer complaints, a Compliance department has an obligation to identify representatives who may need to be placed on heightened supervision based on their lack of adherence to NASD and firm protocols. Dearborn Compliance Manager includes heightened supervision reporting and tracking capabilities to address these needs.

Watch for future releases!

- Insurance compliance tools and services
- Branch audit tools
- Advertising management



Dearborn Learning Manager

Dearborn Learning Manager offers program administration and tracking and reporting services to help organizations create, implement, and manage firm-wide learning programs.

Key capabilities include:

- needs analysis and training recommendations;
- LMS integration;
- program set-up and administration;
- curriculum creation and management;
- tracking and reporting services; and
- covered person surveys.

Needs Analysis and Training Recommendation

Dearborn subject matter experts work closely with our clients to analyze your firm element needs, implement a sound training plan, and track completions and program feedback.

Details include analyzing the firm's organizational structure, backgrounds of covered persons, types of products sold, results from past NASD and market conduct audits, new regulations, customer complaints, new product initiatives, and feedback from prior programs. The training recommendation may include a profile of the organization, management recommendations for courses, training experience that satisfies firm and regulatory requirements, curricula customized by representative/producer experience, license(s) held and business mix, required timeframe for curriculum completion, criteria for how the program will be measured and tracked, and record retention requirements.

LMS Integration

We recognize the need for corporate training departments to use their own LMS or internal learning portals, to provide an easy and fast common access point for professional learners. We offer an LMS integration solution in partnership with Trifus,® a leading content integration technology solution provider, to help customers leverage their LMS investment by directly accessing Dearborn content. This allows learners to launch Dearborn-hosted online courseware as well as return course bookmarks, check completion status, and access exam results right from their own organization's LMS application. Our solution conforms to a variety of industry-wide online learning technology standards, such as those set by the Aviation Industry CBT Committee (AICC®) and the Shareable Content Object Reference Model (SCORM®), ensuring that it will run on multiple platforms with maximum flexibility.

Our LMS integration services help customers:

- leverage their existing infrastructure investment;
- deliver online education in the most timely and effective manner;
- reduce the need for costly custom integrations between vendor content systems and the customer's learning management systems;
- reduce the likelihood of erroneous data input resulting from time-consuming duplicate manual entry; and
- conform to industry-wide online learning technology standards, ensuring multi-platform usage.

Program Setup and Administration

Dearborn Learning Manager provides flexible program setup and administrative tools to help organizations streamline the implementation and management of their learning programs by keeping the myriad of administrative details in a consolidated, centralized location. Individuals save time and in-house administrators eliminate paperwork, inventory, and administrative time. Online access to courses also eliminates delays in obtaining and delivering coursework.

We provide:

- a single site for reference of individual, student, or group educational data;
- easy registration options for adding new students to the system;
- a customized catalog that includes only the courses you specify;
- automatic posting of course scores;
- corporate discounts automatically applied to all transactions;
- the ability to order by cost center;
- management of transactions by cost center;
- secure online transactions; and
- flexible payment options.

Curriculum Creation and Management

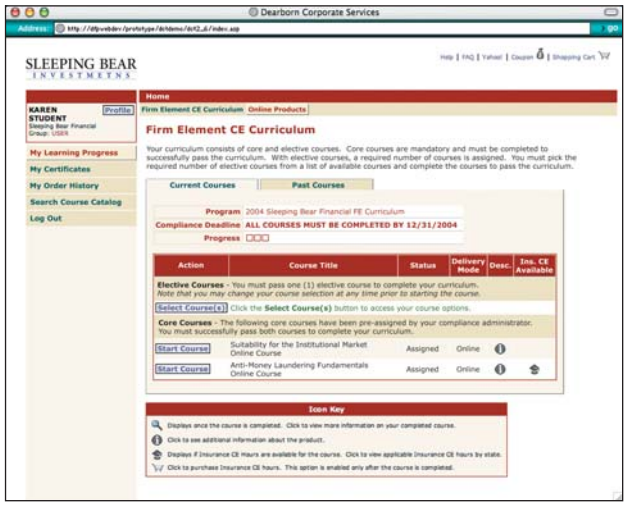
Our services give organizations unmatched power and flexibility in curriculum design and management. Organizations can design the curriculum that best meets the needs of their varied constituents, as well as firm- and state-mandated regulatory requirements. Individuals can be enrolled into any number of curricula comprised of Dearborn and client courses.

Using our technology-based tools, organizations can create customized licensing, continuing education, firm element, and career development programs from our extensive catalog of courses.

Organizations can take advantage of:

- structured licensing programs that combine content, exams, and classroom instruction into a personalized study plan to improve knowledge and pass-rate success;
- customized curriculum options that specify mandatory and elective courses; and
- learning programs that integrate licensing, continuing education, and professional development courses.

Firm Element - My Learning Progress



Tracking and Reporting Services

We offer online tracking and reporting services that enable administrators and learners to track program progress easily, in one place. Included in the administrative feature set is an extensive array of individual and organizational reports. These robust reports are available to monitor the status and progress of each learner so administrators can anticipate problems before they arise.

The systems provides:

- reporting of all orders, enrollments, and certificates issued;
- detailed course completion status; and
- integration of other learning initiatives, such as firm element and insurance continuing education, into one set of reports.

Corporate and Student Services

Dearborn Customer Care

Included in the subscription is 5x12 (five days a week, 12 hours a day) application support via phone, chat, or email. We have built our support service from scratch, using best practices and well-known service providers. You won't find Dearborn customer representatives supporting other applications, or split between development projects while answering your questions. Each one of our customer service representatives is dedicated to supporting the Dearborn Learning & Compliance Manager solution, and has been carefully trained in regulatory compliance business processes and language, as well as the system.

Customer Care provides metrics reporting against our published SLR (service level requirement), which offers 30-minute response and 24-hour resolution of severity one issues.

Dearborn Financial Services

Dearborn Financial Services, A Kaplan Professional Company, is a leading provider of premier learning and compliance solutions to the financial services industry. Dearborn offers a comprehensive library of courses designed to meet state- and firm-mandated regulatory requirements; provides professional education for wealth management certificate, and designation programs; and accelerates selling and business enablement skills. Our robust enterprise learning management and compliance services streamline program implementation and management.

For more than 80 years, Dearborn has worked with top insurance companies, securities firms, and banks to deliver quality solutions that boost productivity, minimize risk, and deliver bottom-line results.

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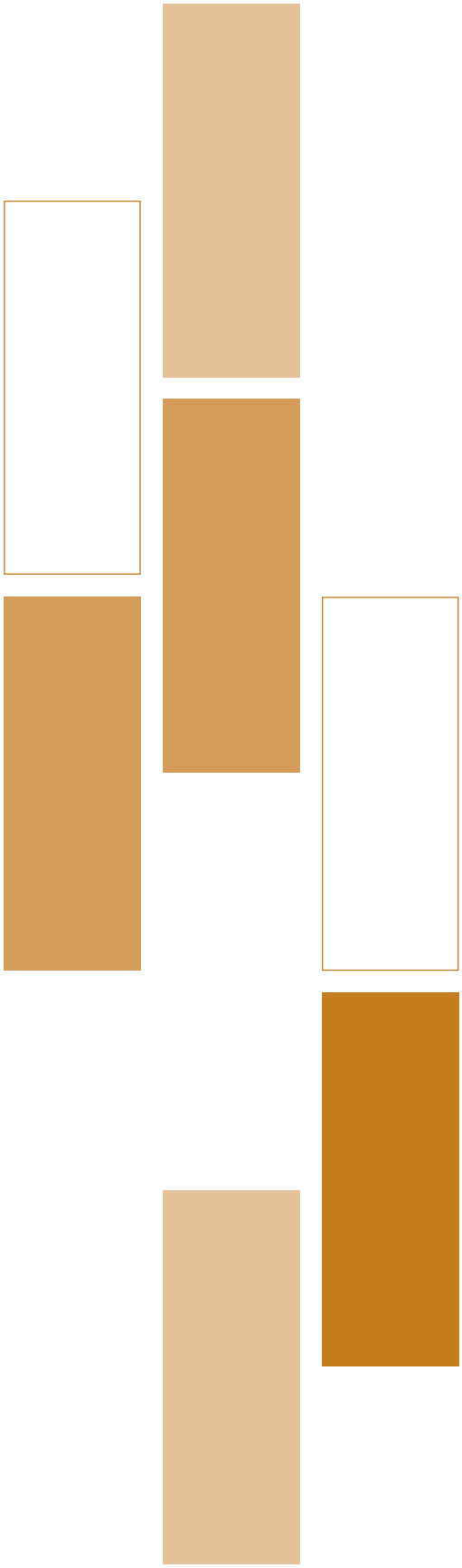

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