KAPLAN FINANCIAL

SECURITIES REGULATOR™

Simplify compliance and minimize risk

www.kaplanfinancial.com

Our Shared Challenges

Growing top-line revenue and proactively managing the risk associated with an ever-changing regulatory environment can be daunting.

Financial services and insurance organizations are seeking an easy-to-use, dependable electronic solution to the paper-intensive and manual process currently used for the education and compliance requirements associated with securities registrations.

Kaplan Financial can help. Our Securities Regulator™ system is specifically designed to help small to medium size broker dealers simplify this complex and critical process to:

- Reduce risk and exposure with automated management of firm element, form preparation, and data management
- Save time and money by eliminating many of your manual, time-consuming compliance processes
- Focus on compliance and not systems

Solution Overview

Securities Regulator is a comprehensive suite of e-tools and services that streamlines the management of firm-wide requirements for compliance, firm element, and regulatory element education and procedures—all in one place.

Firm Element

Current, cost-effective programs

Our firm element library makes it easy to create and implement effective firm element programs each year. A stimulating mixture of "regulatory headlines" and classic titles, the Kaplan Financial library offers exceptional breadth and depth for delivering quality education to learners at all skill levels. With our programs, professionals stay up to date in their areas of expertise while meeting the mandatory coursework in their areas of licensure.

Topical areas include mutual fund breakpoints, mutual fund sales practices, communications with the public, variable annuities suitability issues, fixed income securities, risk and return, anti-money laundering, ethics, and regulatory element.

E-forms

Forms preparation made easy

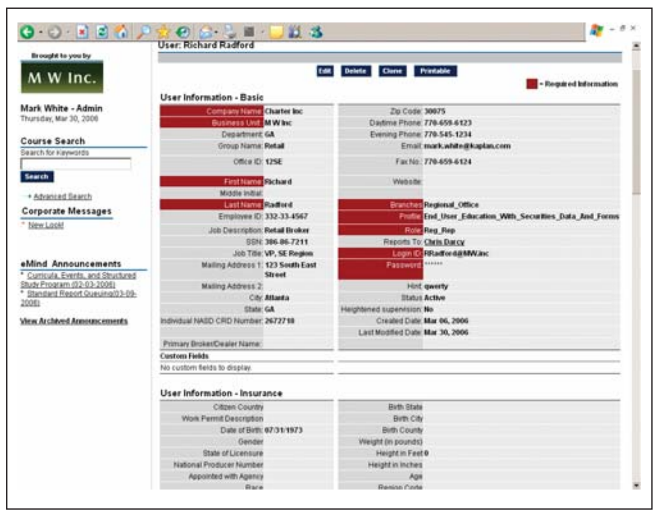
Securities Regulator features a standard library of easy-to-use forms for critical areas like outside business activities and accounts, private securities transactions, needs analysis and more. We also offer the ability to take your existing forms and configure them on our system.

Forms can be distributed to the field force, and completed documents are easily routed for the appropriate approvals. Use our "completeness check" feature to help ensure that no field is left unfilled. Do it once, and you know the form is complete.

Data Repository

Your electronic filing cabinet

Our robust database of information contains current records for all basic demographic information, education tracking, electronic forms status, electronic forms archive, and NASD® (Web CRD®) basic data. It includes license information, regulatory information, and regulatory element and CE information.

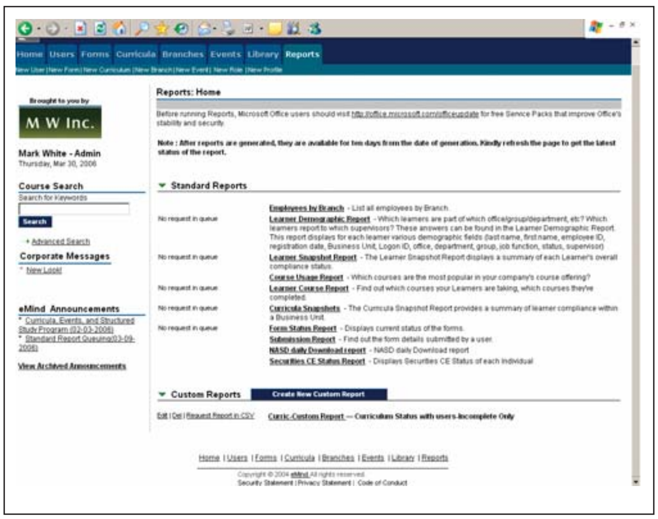


Web-based tracking and reporting

Streamline program management

Securities Regulator offers a standard suite of reports to help ensure that you are abreast of all aspects of your program including:

- › Employees by branch—lists all employees by branch.
- › Learner demographic report—identifies which learners are a part of specific functional areas as well as their standard demographic information like name, employee ID, registration, and supervisor
- › Learner snapshot report—displays a summary of each learner's overall compliance status
- › Learner course report—identifies which courses a learner is taking and which are completed
- › Forms reports—a suite of reports that detail the current status of forms, which forms are submitted by user, daily NASD download report, and securities CE status for each user



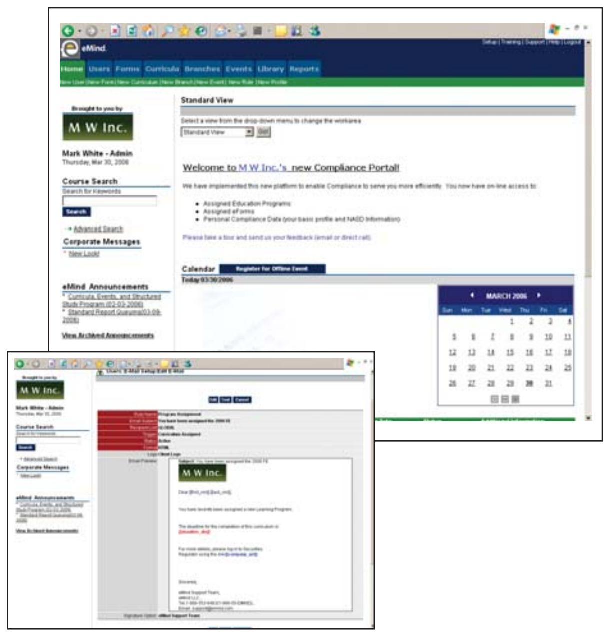
Why Choose Securities Regulator?

- › Self administration and flexible form preparation enable you to configure the system to fit your unique needs.
- › Stay ahead of industry trends and new rules and regulations with a top-quality, cost-effective content library.
- › Help minimize compliance risks with a current data repository and integrated web-based tracking and reporting.

Hassle-free implementation and maintenance

Your firm can be up and running within weeks depending on the firm's size. We employ a simplified approach to data gathering and handle the initial configuration for you. And, we put the power of the system at your fingertips with robust self-administration tools. You can easily:

- › Create corporate messages and welcome text
- › Configure email reminders for items such as program assignments, deadlines, and completion notifications
- › Create reports
- › Add and delete users
- › Control security levels
- › Build your own forms



Start today! It's as easy as calling 1-800-824-8742 .

New Company, New Products, New Look.

Kaplan Financial was formed to bring our customers career-long education solutions that offer exceptional depth and breadth for learners at all levels, and leading compliance management tools and services.

The result?

- › Producers and representatives get to market faster and are better prepared.
- › Revenue grows.
- › Compliance risks are minimized.

Over the course of 2006, you will see the introduction of a new look along with our new products and services. We've launched a new logo and fresh look as part of our new identity, which unites all Kaplan businesses on our core mission: "building futures one success story at a time."

The curve you see as part of our logo is the Kaplan learning curve, and represents our commitment to providing quality education solutions to learners at all levels.

About Kaplan Financial

Kaplan Financial, a unit of Kaplan Professional, provides a single source for premier education and compliance solutions, bringing together these leading brands to help customers accelerate speed to market, boost revenue, and minimize risk: Dearborn Financial Services, BISYS Education Services, eMind,® Insurance Achievement,® and Schweser.™

Offerings include licensing exam prep, continuing education and firm element, wealth management, financial planning, insurance designation programs, and compliance management tools and services.

KAPLAN FINANCIAL

www.kaplanfinancial.com
30 S. Wacker Drive, Ste. 2500, Chicago, IL 60606
800-824-8742

Kaplan Financial includes these leading brands: Dearborn Financial Services, BISYS Education Services, eMind,® Insurance Achievement,® and Schweser.™

ISBN: 0X8105-2119
KF_SecuritiesRegulator_brochure_0406
04.07.06