

Licensing & Registration ServicesSM

Proven Expertise, Measurable Results



Lose the work. Gain the efficiencies.

Choose from three service options:

Consulting: We review all your current licensing/registration activities to uncover opportunities for improvement based on our LRS best practices.

Special Projects: Short-term compliance sourcing on a project basis. Particularly useful following mergers and acquisitions.

Total sourcing: Our experienced compliance team handles all your licensing and registration activities on a long-term basis.



Licensing and Registration ServicesSM

Proven Expertise, Measurable Results.

Licensing and Registration ServicesSM (LRSSM) is the leader in compliance Business Process Outsourcing. With more than 25 years experience in licensing and compliance administration, we have proven expertise and measurable results that allow you to focus on your core competencies. Our experienced compliance team handles all of your licensing and registration activities on a long-term basis.

Consider the outsourcing advantage.

Our LRS compliance team utilizes the world's best compliance technology, CMS G2TM the automation solution, to effectively manage the compliance process. This efficient and proven web-based technology ensures seamless data exchange, faster turnarounds and extreme accuracy. Our processes and technologies are guaranteed with a 24-hour turnaround for standard appointment processing. Avoid fines and ensure fast processing turnarounds for quicker revenue generation. Your compliance quality improves as your net compliance costs decrease.

Key Functions:

Effective and proven web-based technology
Electronic processing
Guaranteed 24-hour turnaround (standard appointment processing)
Personalized service via a customized call center
Experienced staff

Benefits:

Improved service to producers
Real-time status updates, faster turnarounds
Reduced compliance risk
Gain efficiency and focus on core competency
Increased speed-to-market, faster revenue generated

LRS is the nation's largest NIPRSM Authorized Business Partner and the largest processor of electronic appointments/terminations with state insurance departments. We service more than 100,000 active producers, processing 3,000,000+ agent appointments every year. But the most compelling numbers are about the quality of our work. Our clients' monthly state rejection rate, for example, is less than 1 percent. The industry average is 7.8 percent.

*Experience makes the difference. More than 100 nationally
recognized firms count on our LRS.*

Consulting

Find Your Best Solution.

With best practice compliance improvement you gain experience and insight from Kaplan Compliance Solutions experts. Our experts work together with your in-house compliance team to find a solution to your licensing and registration-related issues. Best practice engagements are tailored to address the client's specific compliance situation and needs guided by the three-step best practice methodology. Through this approach you can expect dramatic improvements in your compliance operation.

Three steps to compliance excellence:

1: Discovery. Typically over a two to four day visit to your office, we observe, investigate, discuss and question. We learn your unique business needs and thoroughly chart even the most arcane workflows.

2: Analysis. Our analysis reveals all processes currently used in your compliance system, including a detailed account of the current processes used for each type of transaction occurring in the workflow. This helps us to reveal the “processing gaps” that bring inefficiency and risk to your compliance efforts.

The comprehensive evaluation answers several important questions: What are the problems in the workflows? What's causing the problems? How severe are the issues? And what are the ramifications to your overall business?

3: Reporting and recommendations. A thorough report is delivered to your executive team that details our findings and provides a series of recommendations to realign your compliance workflows with industry best practices. We delineate a best-practices workflow for your operation, and show you where your current procedures deviate from best practices.

Nobody knows compliance like Kaplan Compliance Solutions. When you work with our consultants, you're working with a team who are experienced leaders in the field. Start experiencing more confidence in compliance by achieving excellence in your compliance systems.



Special Projects

Solutions That Work Your Way.

Have you recently been through a merger or acquisition? Are you rolling out a new product? Are you trying to reduce producer renewal fees?

The expert team at Kaplan Compliance Solutions offers special project assistance, both short-term and long-term. Compliance projects can be time consuming and paper intensive. We offer ongoing compliance administration so you can focus on what you do best.

Our full-service LRSSM team can provide quality work on a project basis, such as mass appointment and termination and back office processing as a complete solution. Let our team function as your full-service licensing department.



*More confident compliance **starts** with our end-to-end services.*

Kaplan Compliance Solutions' staff of experts can take care of all producer, field office licensing and registration activities on your behalf, including:

Licensing Services

- New state insurance licenses
- License renewals
- CE enrollment & tracking
- State license amendments
- Duplicate licenses
- Prelicensing enrollment
- Fingerprint filing
- Exam scheduling

Securities Services

- New registrations (U4 processing)
- Terminations (U5 processing)
- Firm Element tracking
- Investment Adviser filings

Appointment Services

- New state appointment filings
- Carrier appointment requests
- Termination requests
- Background investigations

Additional Services

- Database cleanup services
- Call center support
- Event notifications
- New hire processing
- Name & address changes

Call 1-800-428-1344

To learn more about Licensing & Registration ServicesSM and other Kaplan Compliance Solutions products, visit www.kaplanccs.com.

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