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## **Kaplan Compliance Solutions Releases CMS G2 Enhancements to Streamline and Improve the Compliance Process**

INDIANAPOLIS – (March 24, 2009) – Kaplan Compliance Solutions (KCS) (<http://www.kaplancs.com>), a leading provider of services and technology solutions for the insurance and securities industries, has added new functionality to its compliance management solution (Compliance Management System Generation 2™ or CMS G2™). The enhancements, including an Audit Module, Compliance Forms Management and NIPR<sup>SM</sup> Alerts, are designed to streamline and improve compliance processes.

The Audit Module enables brokers/dealers to manage, execute and track the branch audit process electronically for all branch offices and at the same time ensure they have the appropriate documentation and information needed to verify they are properly following audit process and guidelines established by FINRA®.

The module includes specific tools and workflows that efficiently manage and track the entire audit process for multiple branch offices and locations. Brokers/dealers can easily create and maintain audit questionnaires; plan, schedule and execute the review process for each office; assign auditors to specific offices; track the results and run audit reports.

The Compliance Forms Management functionality enables brokers/dealers to electronically manage and send Annual Compliance Questionnaires (ACQ), Outside Business Activities (OBA) and Producer Information Forms (PIF) to producers/

representatives. Appropriate forms can be assigned to an individual producer/representative or to a specific group. They can be notified when the form needs to be completed, then the producer/representative can use the CMS G2 Producer Portal to access and complete the form. The completed compliance forms are saved with the producer/representative personal record in a PDF format.

The alerts functionality made available via the National Insurance Producer Registry (NIPR) helps keep producer information up-to-date. CMS G2 now receives notification from NIPR for resident license status changes, non-resident license status changes and license expiration date changes. CMS G2 efficiently imports license expiration dates and cancelled/inactive license status, and then updates the appropriate producer's license record. When a producer's license becomes active, the status change is included on a report outlining the producer's new status.

"Today's insurance and financial marketers face serious concerns. Compliance should not be one of them," said Kris Cope, Vice President, Sales of Kaplan Compliance Solutions. "CMS G2 reduces the time from recruitment to sales production, increasing the percentage of recruits that reach production, reducing the compliance risk and boosting revenue. The new functionality we are adding today is an extension of this value."

### **About Kaplan Compliance Solutions**

Kaplan Compliance Solutions provides services and technology solutions for the insurance and securities industries to help manage the producer/representative onboarding process and career cycle. Recognized by InformationWeek as a Top Innovator in Business Technology, Kaplan Compliance Solutions is a trusted partner of the nation's largest insurance companies and securities firms. Kaplan Compliance Solutions is a part of Kaplan Professional, a leading provider of education and compliance solutions to businesses and individuals in the accounting, insurance, securities, real estate, financial planning and information technology industries. Kaplan Professional is a division of Kaplan, Inc., a global education services provider and a

subsidiary of The Washington Post Company. For more information, go to <http://www.kplancs.com>.

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