



# Sircon® Licensing & Registration Services

# Lose the Work and Gain Efficiencies

Focus on your core competencies with three service options.

## Consulting

We review all your current licensing and registration activities to uncover opportunities for improvement based on our industry best practices.

## Special projects

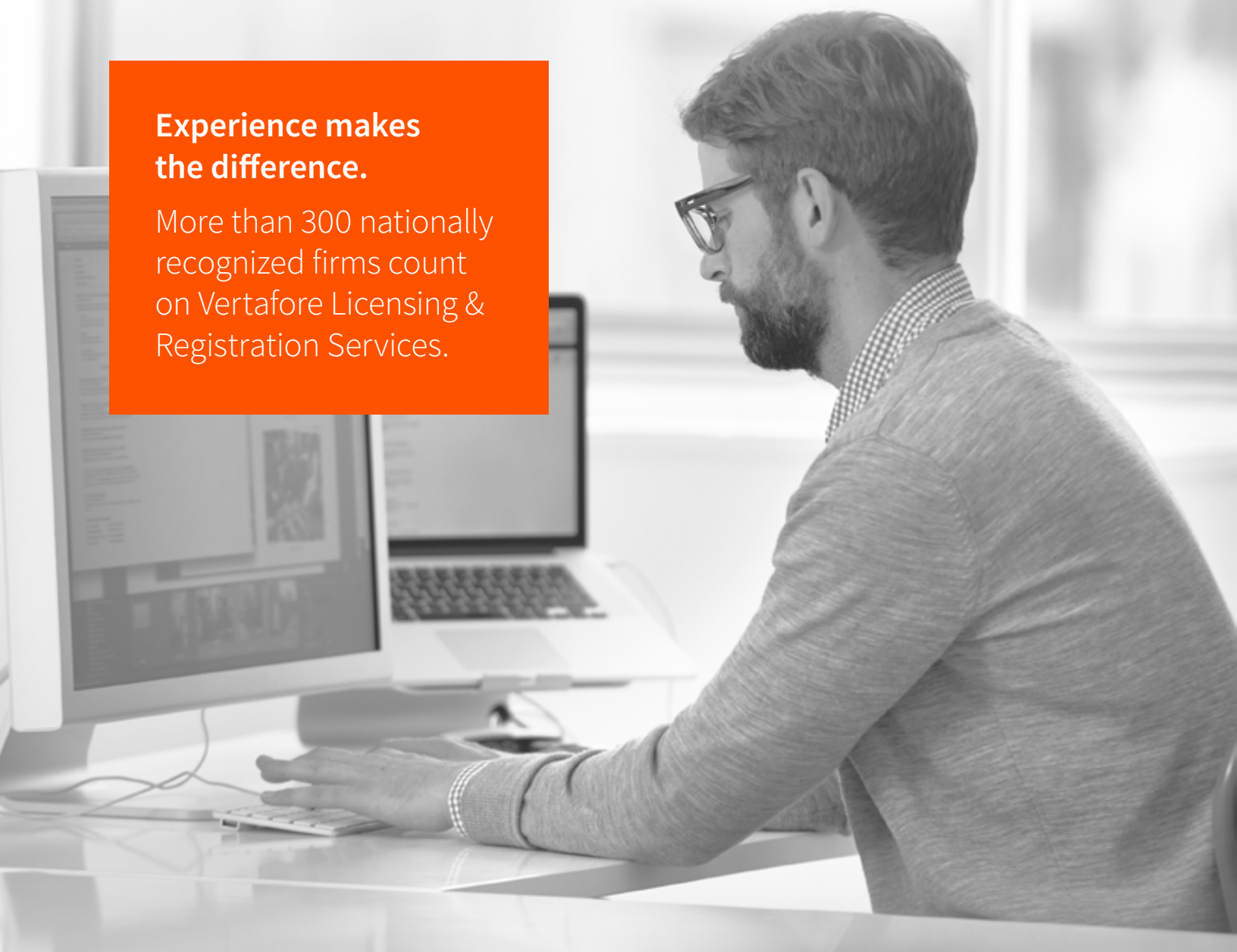
Short-term compliance sourcing on a project basis is particularly useful following mergers and acquisitions.

## Total sourcing

Our experienced compliance team can handle all your licensing and registration activities on a long-term basis.

## Experience makes the difference.

More than 300 nationally recognized firms count on Vertafore Licensing & Registration Services.



# Faster Turnaround and Extreme Accuracy

**Proven expertise, measurable results.**

Vertafore is the leader in compliance business process outsourcing (BPO). With more than 25 years of experience in licensing and compliance administration, our proven expertise and measurable results allow you to focus on your core competencies. Vertafore's experienced compliance team can handle all of your licensing and registration activities on a short-or long-term basis.

## Consider the outsourcing advantage

Our Licensing & Registration (LRS) compliance team utilizes the world's best compliance technology, Compliance Management System Generation 2 (CMS G2), to effectively manage the compliance process. This efficient and proven web-based technology ensures seamless data exchange, faster turnaround and extreme accuracy. Our processes and technologies are guaranteed with a 24-hour turnaround for standard appointment processing.

Avoid fines and ensure fast processing 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:

- Improve service to producers
- Provide real-time status updates and faster turnaround
- Reduce compliance risk
- Gain efficiency and focus on core competencies
- Increase speed-to-market and generate revenue faster

“We need someone who’s there when we have a problem or need an answer. And for support and service, I give Vertafore an A+. If we can’t do something, they help us find a way.”

Wanda Thompson Hall, ACSR, CISR, Office Manager at Theodore & Associates



# Consulting

Find your best solution.

With best-practice compliance improvement you gain experience and insight from Vertafore experts. We 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 your specific compliance situation and needs, and are guided by a three-step methodology. Through this approach you can expect dramatic improvements in your compliance operation.

## Three steps to compliance excellence:

### 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 obscure workflows.

### Analysis

Our analysis reveals all processes currently used in your compliance system, including those used for each type of workflow transaction. This helps us identify “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 is causing the problems? How severe are the issues? And what are the ramifications to your overall business?



### Reporting and recommendations

A thorough report detailing our findings is delivered to your executive team, along with a series of recommendations, to realign your compliance workflows with industry best-practices. We delineate a workflow for your operation that shows where current processes and best-practices deviate.

Nobody knows compliance like Vertafore. When you work with our consultants, you're working with a team who are 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 Vertafore offers short-term assistance with these and other compliance-related projects. Let us manage these time-consuming and paper-intensive projects for you, so you can focus on what you do best.

# Total Sourcing

**For your long-term compliance needs.**

Vertafore's staff of experts can also take care of your long-term compliance needs on a targeted or comprehensive basis, including producer or field office licensing and registration:

## Licensing services

- New state insurance licenses
- License renewals
- Continuing education (CE) enrollment and 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

- Compliance form management
- Form ADV part 2b
- Registered representative monitoring

## 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 and address changes
- Training program tracking
- Surplus Lines Tax Filings Services
- Secretary of State Registrations and Filings





## Get started

To learn more about Sircon Licensing & Registration Services and other Vertafore products, call 877.876.4430 or visit [sircon.com](http://sircon.com).



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