
The Ticking Clock of Evolving Regulations?

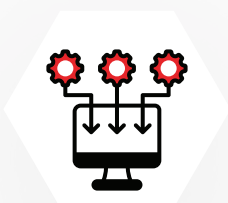
PREPARED BY

hexure 

Regulatory requirements are always evolving.

The recent fiduciary rule from the DOL shows a need for tools that can adapt to new regulations.

Given what is happening in the courts with this rule, many carriers and distributors seem to be moving on. But, new regulations will continue to be proposed and enacted. Whatever happens with this DOL rule, your firm must be ready for evolving regulations.



Technology-Driven Compliance Management

Technology that streamlines and tracks transactions is key for compliance. Such technology ensures that your processes remain consistent. It enhances efficiency, auditability, compliance and readiness for future regulatory developments.

Additionally, eliminating manual processes with advanced technology minimizes errors. It enhances the advisor's workflow, so they can focus more on their clients. Plus, streamlining compliance with technology leads to a more efficient and accurate process.



Streamline Compliance from the Start

Manual processes require advisors to enter (and re-enter) client data, product details, fees, and compensation. This is time-consuming and prone to errors and not-in-good-order business.

These inefficiencies disappear with automated pre-sale technology solutions. Such solutions streamline data collection. They ensure consistent and accurate processes across clients. And they create connected, seamless experiences from data entry to application processing.



Simple and Quick: Data Collection

Pre-sale technology automates data collection through wizards and forms, reducing redundant data entry. Advisors input information once, and the data prefills applications and other required forms. It ensures consistency and accuracy and creates a repeatable process.

Additionally, pre-sale solutions have robust rules that guide advisors through each required step. This ensures the collection of all necessary data and signatures.

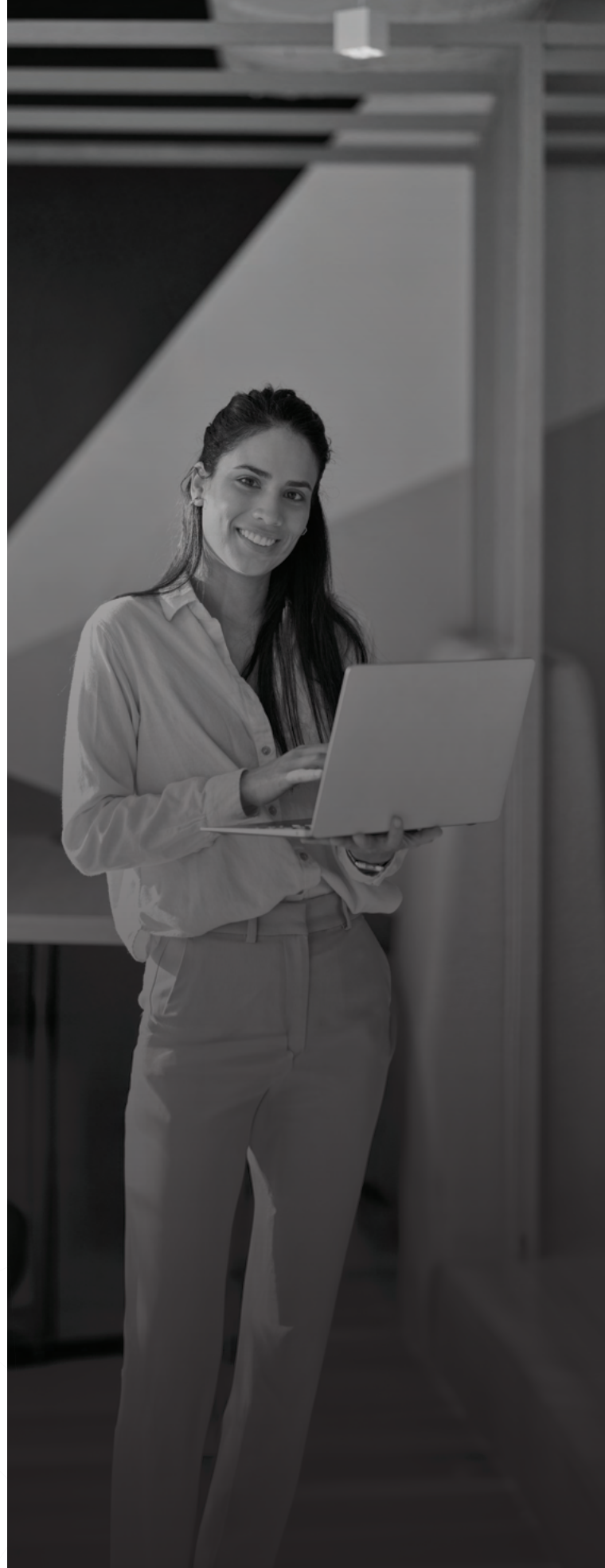
The result? Uninterrupted integration of fiduciary and regulatory requirements into the sales process.



Reliable Auditable Trail

In today's regulatory environment, having a consistent and auditable process is crucial. Digital solutions provide tools to create a repeatable, traceable process. They link pre-sale data and activities with the final application.

A full audit trail from data capture to submission is key for compliance oversight. The best part? With digital solutions the audit trail is automated.





Easy and Accurate: Pre-Sale with FireLight

Fortunately, a solution already exists. FireLight's pre-sale tool automates data collection, which then flows into other sales activities. It helps firms stay in compliance with changing regulations while driving sales growth.

Its flexible configuration is designed to meet specific firm needs and processes, ensuring that critical client information is consistently and accurately collected from the beginning.

- ✓ **Needs Assessment Tools.**
FireLight has tools and suitability questionnaires to help advisors assess client needs. They ensure all critical information is collected and consistent from the start.
- ✓ **Data Review and Product Suitability.**
FireLight enables suitability scoring. It can filter and recommend products that best fit the client. This approach aligns with the client's best interests. It also boosts the advisor's confidence in their recommendations.
- ✓ **Alerts for Advisors.**
Advisors receive timely notifications about changes in client requirements. They allow adjustments to their recommendations to fit the client's evolving needs.
- ✓ **Clear Cost and Duty Explanations.**
FireLight integrates required disclosures to provide clear explanations of costs and duties. This ensures clients get all the information needed to make their decision.
- ✓ **Comprehensive Audit Trail.**
FireLight captures every activity in the pre-sale process, providing a complete audit trail. This feature documents all interactions and datapoints, ensuring visibility and compliance oversight. This automated audit trail is essential in today's regulatory sales environment. And, crucial for adapting to tomorrow's.

Why Hexure?

In today's dynamic regulatory and sales landscape, ensuring automated, consistent, and auditable processes is essential. Reach out to Hexure to discover how FireLight can help your firm stay compliant and adapt to regulatory changes.

Request a demo today at [Hexure.com](https://hexure.com) or contact sales at 719.442.6400