



RISK ADVISORY • TAX • FINANCE & ACCOUNTING

REGULATORY COMPLIANCE

Jefferson Wells delivers professional services in the areas of risk advisory, tax and finance and accounting. We serve clients, including Fortune 500 and Global 1000 companies, through highly experienced professionals working from offices worldwide.

To learn more about our firm and our professional services, contact your local Business Development Manager or visit our Web site at www.jeffersonwells.com.

- Client:** A Wisconsin-based insurance company operating in 18 states with more than \$15 billion in assets
- Need:** Lacking sufficient internal personnel, the client needed additional outside resources to conduct on-site field-force examinations. It needed professionals who were familiar with FINRA Rule 3010(c)(1)(B) and the insurance and securities industry and who also possessed interviewing, examining and computer skills.
- Reason:** The client wanted to ensure strict compliance with industry regulations – and avoid significant fines for noncompliance.
- Capabilities:** The client needed an experienced partner with the personnel and expertise to address their field-examination needs for a three-year period, with an option to extend.
- In addition, they wanted to establish a supplier relationship that could maintain a high level of professionalism while providing total value performance for the required services.
- Jefferson Wells was awarded the contract.
- We Provided:** Jefferson Wells provided qualified professionals from 11 offices around the country who conducted more than 640 exams in 2007. We also oversaw project management and provided customized status reporting to track our progress during the engagement.
- Results:** All exams were completed on time and within budget, considerably reducing the risk of noncompliance (e.g., fines, lawsuits). By using local Jefferson Wells resources in the cities which the client operated, the client also realized significant savings in time and travel costs.