



Keane

Beyond Compliance.™

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FOR IMMEDIATE RELEASE

The Compliance Department Inc. Partners with Keane BRMS and SCORE to Power FINRA Compliance for Broker-Dealers

The Compliance Department Inc. is latest customer to use SCORE to streamline the compliance process and help financial institutions comply with FINRA regulations and Rule 3012

WAYNE, Pa.— June 12, 2008—[The Keane Organization](#) (Keane) today announced that [The Compliance Department Inc.](#), has selected the SCORE technology from Keane Business Risk Management Solutions (BRMS) to power supervisory control audits of securities broker-dealers under Rule 3012. The Compliance Department Inc. is a Colorado-based provider of compliance outsourcing services to securities broker-dealers, investment advisors, banking institutions and insurance companies.

Through Keane BRMS and SCORE, The Compliance Department Inc. will be able to automate and streamline its audit process for broker-dealers. This will allow the Company to continue providing quality audits and assessments, while also allowing it to expand its service offering to a larger network of potential clients. SCORE is Keane's patent-pending, web-based tool that provides companies with a comprehensive view of risk and compliance activities and

accurately tracks and measures the degree of risk in real time.

Broker-dealers are subject to the rules and regulations of the Financial Industry Regulatory Authority (FINRA) which maintains strict oversight of the more than 5,000 broker-dealers nationwide.

The Compliance Department Inc. provides broker dealers with a comprehensive audit process and checklist that puts them in compliance with FINRA rules and regulations. In particular, [FINRA's Rule 3012](#), which “requires broker-dealers to perform a thorough test of internal compliance controls to verify the effectiveness of their compliance systems,” means broker-dealers need a comprehensive and precise way to assess and manage their compliance and risk profile.

Using Keane BRMS and SCORE, The Compliance Department Inc. can now quickly and accurately assess compliance systems, identify areas of risk, and help broker-dealers comply with the Supervisory Control Procedures imposed by FINRA and Rule 3012.

“For broker-dealers, the new regulatory landscape created by FINRA can be confusing at times, and overwhelming at others,” says Dorothy Flynn, CEO of The Keane Organization. “The Compliance Department Inc. provides this industry with much needed audit and assessment tools to help them manage their risk profile and compliance with FINRA. Now, using our SCORE technology, they can streamline what had been a time consuming manual compliance process, while also generating benchmark statistics and management information that can help improve performance.”

“Keane is an incredible resource and partner for us in the world of compliance,” said Chet Hebert, President of The Compliance Department Inc. “With SCORE powering our broker-dealer supervisory audits and compliance services we can provide even better service and useful management information. Beyond simply proving compliance we’re creating value. Plus, we will be able to empirically show our clients how they compare to their broker-dealer peers throughout the U.S. and help them define opportunities for improvement.”

ABOUT KEANE

The Keane Organization provides compliance and risk management solutions that help companies mitigate regulatory, operational and financial threats across the enterprise. Keane's solutions allow business leaders to measure, manage and monitor these threats in a way that produces measurable return on investment. Whether it involves regulators, investors, customer, employees or vendors, Keane's proprietary business methodology allows clients to systematically identify risk, create specific action plans, and establish accountability for results.

For more information about Keane, please contact Paul Johnson at 610-642-8253 or Paul@gregoyrfca.com, or visit us at www.KeaneBRMS.com.

ABOUT THE COMPLIANCE DEPARTMENT INC.

The Compliance Department Inc. specializes in providing compliance outsourcing services to securities brokers-dealers and investment advisors, as well as banking institutions and insurance companies. Our clients range from individual investment advisors to large independent broker-dealers as well as bank owned broker-dealers and insurance companies. Through our network of associated compliance personnel and consultants we are able to deliver high quality services at competitive pricing. Our advice represents over 100 years of combined compliance experience in brokers-dealers, investment advisors, banking institutions and insurance companies.

For more information about The Compliance Department Inc. contact Chet Hebert at 303-339-9870 or chebert@thecompliancedepartment.com, or visit us at www.thecompliancedepartment.com

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