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FOR IMMEDIATE RELEASE

### **Keane's Latest SCORE Shuts Out Shareholder Compliance Issues**

*New SCORE 17Ad-17 measures, manages, and monitors SEC-required shareholder tracking, and provides a data trail to prove it*

**WAYNE, Pa.— April XX, 2008**—The Keane Organization has added a new weapon to its SEC compliance arsenal with the launch of SCORE 17Ad-17, a new Web-based software tool built using Keane's proprietary risk management technology. The tool lets transfer agents measure and improve their compliance with SEC Rule 17Ad-17-mandated lost shareholder search requirements, potentially avoiding hefty fines with just a few mouse clicks.

Companies are under strict SEC guidelines to search for lost shareholders, but prior to SCORE 17Ad-17, the process was often difficult to track and manage. Further, consequences of faulty or non-compliance are painful – SEC audits, significant potential fines, and reputational

and privacy-related risk. By using SCORE 17Ad-17, companies can systematically measure, manage, and monitor their compliance through a simple 90-question online assessment designed by Keane's SEC 17Ad-17 compliance experts. The assessment results in a benchmark score that gauges the company's overall compliance risk. When the score is below 75, the company may be out of compliance, and SCORE 17Ad-17 advises the company how to increase compliance before taking the assessment again. Even when a company scores above 75, SCORE 17Ad-17 identifies additional areas of improvement, and provides controls and action items to help the company incorporate and embrace best practices, resulting in ever-higher assessment scores. Most importantly, SCORE 17Ad-17 documents the self-evaluation, and maintains an audit data trail that will prove crucial when the SEC comes knocking.

“Any company that's not using SCORE 17Ad-17 as a watchdog is vulnerable to SEC scrutiny,” says Dorothy Flynn, CEO of The Keane Organization. “SCORE takes the mystery out of any compliance process, and minimizes the risk of penalties in the event of an audit. Our technology allows companies to take a hard look at their business practices, and continually refine those practices. Compliance has never been faster, easier, or more effective.”

Indeed, SCORE 17 Ad-17 makes it “point-and-click” easy for companies of any size to quickly measure how well they're adhering to SEC regulations, which require companies to perform and track shareholder searches within specifically designated timeframes. SCORE 17Ad-17 helps users continuously manage their SEC Rule 17Ad-17 compliance by focusing on the areas exposed by the SCORE 17Ad-17 assessment. By giving companies insight into the risk levels associated with lost shareholder searches, companies can better measure, manage, and

monitor every aspect of SEC-required shareholder compliance. With that information, companies can track and assign due dates to fix the problems, log when tasks are completed, and, in the end, boost their compliance score in ongoing assessments. Monitoring SEC Rule 17Ad-17 compliance progress on a long-term basis is simple with remote access to SCORE 17Ad-17 via a secure log-in.

## **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 Kristen Forbriger at 610-642-8253 or [Kristen@GregoryFCA.com](mailto:Kristen@GregoryFCA.com), or visit us at [www.KeaneBRMS.com](http://www.KeaneBRMS.com).

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