


LEXISNEXIS® BLUE SKY SOLUTION™

Streamline blue sky compliance and strengthen go-to-market efficiency with our integrated SaaS platform

Explore the latest innovation in blue sky technology



Click to enter 



Introducing LexisNexis® Blue Sky Solution™

Our new Blue Sky Solution™ SaaS platform combines the power of industry-leading technology and proven blue sky compliance expertise to improve the accuracy and efficiency of your blue sky compliance program.

[Learn More >](#)



For Investment Company Sponsors and Fund Administrators

Reduce costs, increase efficiencies, stay informed and stay in compliance. Blue Sky Solution helps investment company sponsors streamline operations and ensure compliance confidence. Blue Sky Solution is the compliance platform of choice for the largest mutual fund companies and third-party administrators in the country.

[Learn More >](#)



For Service Providers

Blue Sky Solution supports compliance operations for law firms, transfer agents and fund administrators. Our integrated platform facilitates direct access for your clients to their real-time information through a robust client portal.

[Learn More >](#)



Make innovation part of your firm

Learn how you can integrate innovation, streamlined operations and compliance confidence across your firm's core operations.

[Learn More >](#)



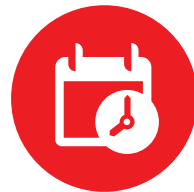
Introducing LexisNexis Blue Sky Solution

Simplify blue sky compliance and streamline go-to-market activities with our easy-to-use Blue Sky Solution. Our SaaS platform automates efficient and accurate compliance with all required state-by-state filing responsibilities and supports sales data-feed integration from unlimited data providers.

Our new Blue Sky Solution will help you:



Realize significant savings on infrastructure costs, hardware, maintenance and ongoing IT support with our new, easy-to-utilize SaaS model.



Automate and track associated tasks with calendar work items and sales warnings backed by alerts and project due dates.



Streamline your processes through a brand-new user interface that facilitates the efficient review and resolution of sales feed and processing exceptions and takes advantage of automated archiving of historical changes which saves time by eliminating the need to print reports.



Maintain up-to-date data and information through project summaries and leverage the ability to streamline updating to filings in bulk edit mode to quickly support last-minute changes to fund names or SEC effective dates, as well as sales adjustments and exemption amounts.



Increase insight and gain peace of mind with improved visibility across your end-to-end blue sky operations. Our revamped reporting module features an extended suite of reports in Microsoft® Excel® format that connects you to immediate intelligence around status updates, sales activity, upcoming filing deadlines, ongoing monitoring and more. The reporting module improves transparency to support vendor oversight and analysis and offers the ability to schedule frequently used reports for automated email delivery.

Investment Company Sponsors and Fund Administrators >>

For Service Providers >>

For Investment Company Sponsors and Fund Administrators

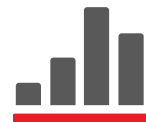
Confident blue sky compliance begins here

Our Blue Sky Solution seamlessly connects businesses to a robust and real-time database of current state-by-state filing requirements and proven blue sky compliance expertise. Increase accuracy and transparency across compliance operations, sales activities and reporting and filing processes with our integrated SaaS platform.



Accuracy From Day One:

Our solution is delivered with all your fund information, state permit data, historical sales data and state-by-state filing requirements. Our blue sky compliance experts audit your data, highlight any issues and work with you to correct data inconsistencies prior to production implementation.



Easy Automation:

Blue Sky Solution imports data files from fund transfer agents, broker-dealers and record-keeping platforms to support automated sales monitoring and reporting. It features graphical and numerical data analysis tools that call attention to potential sales issues or anomalous sales, ensuring accurate reporting and mitigating over-payment of fees.



Expedited Electronic Filing:

Requests for new product filings can be addressed within hours rather than days or weeks. Blue Sky Solution directly interfaces with both the BlueExpress Manager and the NASAA EFD electronic filing platforms and seamlessly supports electronic filing with states offering e-filing programs. ACH payments are easy with the built-in export feature that creates a payment file in NACHA compliant format.



Tighter Oversight and Transparency:

Online review and approval processes provide management controls, promote accuracy and ensure compliance with internal policies and procedures. Exception and warning reports ensure timely compliance with reporting and filing deadlines.



Minimize Expenses and Controls Costs:

Blue Sky Solution stores daily sales information at the fund/state/data provider/social code level. Firms can quickly identify large daily sales that may be eligible for transactional exemptions and can configure settings for the automatic exclusion of sales to existing shareholders (SES exemption), thereby reducing reportable sales and corresponding fees. All exemptions are identified by type of exemption in the "Sales Journal" facilitating analysis and calculation of cost savings.

Introducing LexisNexis Blue Sky Solution >>

For Service Providers >>

For Service Providers

Achieve efficient and transparent vendor administration

License Blue Sky Solution directly

Confidently serve clients with our Blue Sky Solution that enables you to swiftly meet vendor oversight responsibilities by providing complete transparency to your clients' blue sky data. Blue Sky Solution is a multi-tenancy solution that facilitates secure and direct access for your clients to their real-time information through a robust client portal. Support client-specific requirements, including for clients who sponsor their own registration statements, with our easy-to-utilize client portal.

Choose to leverage our team of experts

Our experienced team can do the heavy lifting to help your firm reduce costs associated with recruiting, staffing and training. Effectively manage risk, eliminate exposure to single point of failure and maintain strong vendor relationships by leveraging Blue Sky Solution as a reliable foundation for internal compliance operations.

Investment Company Sponsors and Fund Administrators >>

Experience Blue Sky Solution in action >>



Capture the advantage of end-to-end blue sky efficiencies

Blue Sky Solution is available as a standalone licensed solution or as part of our full-service outsourcing solution. Strengthen blue sky compliance and streamline go-to-market activities by accelerating and automating core compliance, sales monitoring and reporting processes.

For Registered Investment Companies

Our blue sky compliance professionals provide end-to-end blue sky filing services for investment companies and fund administrators. We fully manage blue sky operations to enable your team to focus on core enterprise goals. Count on our proven team of blue sky experts to:



Monitor Critical Relationships – Establish relationships and complete daily sales feed transmissions with a firm’s transfer agent and intermediary data providers.



Audit and Correct – Audit all blue sky data and files and assist with corrective filings.



Monitor and Highlight – Monitor daily sales activity and highlight large sales transactions to assist in the exemption process.



Prepare and File – Prepare, review, sign and file all notice filings for investment companies.



Manage Expenses – Provide full accounting and expense reporting of blue sky fees.



Deliver real-time information access – Provide seamless access to state filing and sales information via a suite of web-based reports.

For Private Offerings pursuant to Rule 506

Our expert blue sky compliance professionals combine decades of compliance expertise and the power of our robust Blue Sky Solution to ensure your private offerings remain compliant. Our full-service solution includes:



Initial Conversion and Annual Audits – With firm-provided data, our team conducts an initial audit of all conversion records and ongoing audits of the Form D filings. We prepare all uniform and/or state forms, coordinate client review and obtain authorized signatures.



Investment Monitoring and Reporting – Our team monitors monthly sales activity to determine the states in which filings must be completed. An initial notice filing is made each time securities are purchased by an investor in a state where a notice filing has not been previously filed.



Accounting and State Filing Fee Payments – We manage payment of state filing fees on behalf of the firm and provide detailed reports of filings to be submitted and fees due.



Preparation of Form D and filing with the SEC – Our experts prepare the Form D for the issuer and submit it for final review and sign-off by an authorized officer to become the “certified” Form D.



Initial State Filings – Our team prepares and files all initial Form D notice filings no later than 15 days after the first investment in any state, including manually signed copies of the Form D as filed with the SEC where mandated, a Form U-2 where required and the applicable state filing fee.



Amendment Notice Filings – We prepare and file an amended Form D with the SEC via EDGAR, as appropriate, with copies of the Form D/A filed with all states in which such amendments are required.



Automate blue sky compliance and accelerate core securities filing activities

Click Here »

CONTACT US TO LEARN MORE:
risk.lexisnexis.com/FCC | +1.800.658.5638

About LexisNexis Risk Solutions

LexisNexis® Risk Solutions harnesses the power of data and advanced analytics to provide insights that help businesses and governmental entities reduce risk and improve decisions to benefit people around the globe. We provide data and technology solutions for a wide range of industries including insurance, financial services, healthcare and government. Headquartered in metro Atlanta, Georgia, we have offices throughout the world and are part of RELX (LSE: REL/NYSE: RELX), a global provider of information-based analytics and decision tools for professional and business customers. For more information, please visit www.risk.lexisnexis.com and www.relx.com.

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