



Case Management

When supervision and oversight efforts uncover a potential compliance issue, exception, or violation, compliance officers and teams need to take swift action. It's important to uncover all relevant information and follow up as appropriate, consistent with internal policies and procedures and securities regulations.

Firms that rely on paper-based or manual processes often struggle with organizing and maintaining records related to such inquiries. When called to reproduce such evidence of oversight or supervision, supervisors and compliance officers may waste precious time scouring network drives, email inboxes, and employees' paper file folders for related correspondence.

Violation
uncovered.

Compliance
review
completed.

Policies
enforced.

Quickly uncover all information related to a potential compliance violation, respond, and document, all within the ComplySci Platform.

AUDIT TRAIL

- Keep all exception-related data electronically organized and accessible in moments
- Complete audit trail for all activities
- Allow supervisors to see before and after versions of an updated record

WORKFLOW

- Using the system's built-in workflow capabilities, supervisors can easily involve others as needed, sharing records without the need to email or print files
- Restrict access to records simply by defining roles. The ComplySci® Platform allows you to designate reviewers of sensitive matters to ensure confidentiality
- Monitor all cases from a dashboard view

AUTOMATED

- Firms that maintain work papers, correspondence supporting documentation, and notes using the ComplySci Platform will be able to respond more nimbly to internal or external requests
- Identify potential patterns of behavior more easily, helping keep investors safe from harm while meeting regulatory obligations

DATA MANAGEMENT

- Escalate cases to specific reviewers for their input
- Categorize case information by user-defined criteria
- Run reports based upon company-defined data elements, such as categories and classifications

Contact us to
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