

THE BENEFITS OF 360-DEGREE EMPLOYEE RISK MANAGEMENT

Real-Time Insights

- Supervisor dashboards
- Employee dashboards
- Configurable reports
- Visual reports

Infinite Scale

- Localisation for global teams
- Multi-level global workflows
- HR enterprise mapping integration

Risk Surveillance

- Analyse individual critical behaviors
- Modify compliance management workflows

Intelligent Automation

- Only monitor exceptions
- Eliminate the paper burden
- Incorporate new features as you scale and grow



The ComplySci® Platform Overview

Navigate complex regulatory challenges and safeguard your firm's reputation by proactively identifying and managing potential risks.

The ComplySci Platform is a comprehensive solution built for monitoring Code of Ethics requirements and tracking employee activity against rules and regulations.

MONITOR POTENTIAL CONFLICTS OF INTEREST RELATED TO:

- Employee trading
- Cryptocurrency
- Gifts and entertainment
- Political contributions
- Outside business activities
- Marketing materials
- Initial public offerings (IPOs)
- Private investment

ADMINISTER, MANAGE, AND REPORT ON:

- Certifications and attestations
- Preclearance requests
- Employee disclosures
- Conflicts of interest
- Insider information
- Compliance communications
- Firm-wide risk
- SMCR

"Working with COMPLY™ has been transformational in the way we administer our compliance program. We reduced the time we were dedicating to a manual review of brokerage statements by an order of magnitude."

— Alternative Asset Management Firm Chief Compliance and Chief Financial Officer



COMPLY™

"Since working with COMPLY we've seen a **66% reduction in time spent monitoring Code of Ethics, a five times faster employee preclearance process, and during a time of growth for our firm, we were able to save 2 FTE during onboarding.**"

— Hedge Fund Chief Compliance Officer

Talk to an expert today!

sales@comply.com

COMPLY™

THE COMPLY™ DIFFERENCE

Statement Tracking Solution

Build an automated workflow around statement uploads and monitoring to ensure complete coverage of employee accounts.

Mobile First

Our mobile-first approach ensures a frictionless experience for you and your employees, making compliance easy and painless.

Access the platform anytime, anywhere from a mobile device, tablet, or computer, with our mobile app or our cloud-based platform.

Award-Winning Customer Service

Let us be an extension of your back office — receive support when you need it most from our dedicated subject matter experts.

Expand Your Compliance Software

Additional modules further enhance your compliance program:

- Conflict Check
- Control Room
- Digital Asset Trade Monitoring
- Managed Services Code of Ethics Monitoring
- Managed Services Email Review
- SMCR

Extensive Integration Capabilities

Leverage single sign on (SSO), FTP uploads, or direct APIs to integrate with other platforms and systems.

Customer Advisory Board

Through both our customer advisory board and regular business reviews with our customers, we solicit feedback about how our technology can best evolve with the industry and our client's needs.

