

THE BENEFITS OF 360-DEGREE EMPLOYEE RISK MANAGEMENT

Real-Time Insights

- Supervisor dashboards
- Employee dashboards
- Configurable reports
- Visual reports
- Broker feed status reports

Infinite Scale

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

Risk Surveillance

- Analyze individual critical behaviors
- Modify compliance management workflows

Intelligent Automation

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

COMPLY™



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, mobile-responsive compliance software solution built for monitoring Code of Ethics requirements and tracking employee activities against rules and regulations.

MONITOR EMPLOYEE ACTIVITIES:

- 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
- Material non-public information
- Compliance communications
- Firm-wide risk

"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



"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

300+ Direct Broker Feeds

With integrated electronic broker feeds from more than 300 sources and a robust data normalization process, COMPLY provides unrivaled accuracy and dependability.

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.

Additional Modules

Additional modules further enhance your compliance program:

- COMPLY Program Management
- Conflict Check
- Control Room
- Digital Asset Trade Monitoring
- Political contribution compliance solutions — powered by the illumis[®] Platform
- 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.

