

Making Enterprise Strategic Compliance Management a Reality

Compliance and people risks have turned into a strategic business challenge. Risks are growing exponentially in significance and so are the consequences. It has become a strategic imperative for firms of any size to be able to effectively identify, manage and report on all types of compliance risks. This is not only true in the Financial Services industry including global investment banks, insurance companies, private equity firms, hedge funds, investment managers, registered investment advisors and brokerage firms, but increasingly as well for corporations and professional services firms.

The complexity of managing risk and compliance are growing. With ComplySci, you'll be equal to the challenge.

Pioneers in Strategic Compliance Management

Fortunately people risk doesn't have to be out of your control. The ComplySci founders revolutionized compliance for financial services firms in 1997 when they built the industry's first automated system for monitoring personal trading, code of conduct activities and compliance reporting. Today, we've greatly expanded and transformed our technology.

The ComplySci platform takes compliance to the next level by truly assessing people-related risk, monitoring risky behaviors and trends which arms compliance professionals with insights needed to take action and avert costly dangers. For a multitude of reasons – executive accountability, customer confidence, employee savvy, and regulator expectations – fully automated Strategic Compliance Management (SCM) is now a must-have.

A Comprehensive Platform to Manage Risk

The ComplySci platform is always on the job. Receiving external feeds. Normalizing disparate data. Identifying inaccurate or missing information. Analyzing trade details. Assessing employee activities. Tracking risk statuses. Recognizing risk patterns. And, ultimately, alerting you to concerns you might never suspect are there.

ComplySci At-a-Glance

750+
Clients

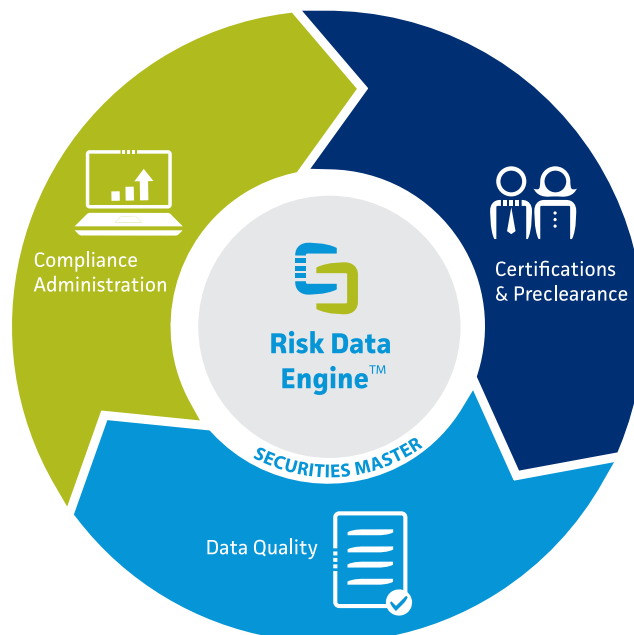
8 of top 10
Private Equity Firms

3 of top 5
Hedge Funds

97%
Customer Retention

52
Countries

Strategic Compliance Management The Gold Standard



What Makes ComplySci Different?

Simply registering trades and automating paperwork and compliance reporting will never conquer the growing challenge and complexity of compliance management. This challenging job calls for a purpose-built Risk Data Engine – which is exactly what the ComplySci Platform provides. It's built on three unique enablers that are essential for a comprehensive, effective Strategic Compliance Management solution.

3 Unique ComplySci Capabilities



Data Integrity

Our proprietary data management methodology and processes combined with our comprehensive and sophisticated Securities Master ensures the integrity of every data element that enters our risk repository.



Real-time Forensics

Rich analytics provide insights into patterns, trends and exceptions resulting from employee activities. Early detection of anomalies and potential rule violations empowers compliance professionals to proactively mitigate risk.



Dynamic Surveillance

ComplySci analyzes an individual's critical behaviors and parameters to dynamically modify compliance management workflows based on each employee's risk profile.

Why ComplySci

- Innovative technology leader
- Highest data quality
- Configurable platform
- Real-time analytics
- Award-winning customer support
- Loyal, long-term customer base

Business Benefits

- Protects against reputational damage
- Mitigates people risk
- Manages supervisory risk
- Demonstrates a culture of compliance
- Boosts compliance team efficiency and effectiveness
- Streamlines audits and regulatory reviews

ComplySci Platform Key Capabilities

ComplySci is delivered with the critical functionality listed below to enable proactive compliance and risk management in today's volatile, complex regulatory environment. However, the platform is also built with flexible configuration capabilities to meet a firm's unique needs. Further, the "mobile-first" responsive design means that all capabilities for the compliance team and all employees can be performed natively from any device - PC, tablet, smartphone.

Compliance Administration

- Data Quality Management
- Trade Surveillance
- Broker Feeds Management
- Case Management
- Third Party Monitoring
- Task & Certifications Calendar
- Real-time Forensics & Alerts
- Custom Dashboards
- Real-time Reporting

Certifications & Preclearance

- Code of Conduct
- Personal Account Trading
- Gifts & Entertainment
- Political Contributions
- Outside Affiliations
- Marketing & Advertising
- Private Placement & IPO
- Custom Policies

Request a ComplySci demonstration.

See how ComplySci's breakthrough Strategic Compliance Management platform offers a SaaS solution firms of any size can utilize to successfully manage people-related risk.

[Click Here](#) or call U.S. Headquarters 212.327.1533 or U.K. Headquarters +44 20 7153 1040