



## SOLUTION OVERVIEW

# The ComplySci Platform

Compliance teams need to always be prepared and arm their teams with the best tools to address the evolving regulatory landscape and the new risks that arise on a daily basis. In this environment, it has become a strategic imperative for firms to be able to effectively:

- Protect against reputational damage
- Identify and proactively manage potential risks and conflicts of interest
- Monitor personal trading and code of conduct activities
- Demonstrate a culture of compliance

## The ComplySci Platform

The ComplySci platform was built to help Compliance Officers stay ahead of risk by monitoring, managing and reporting on conflicts of interest arising from their employees, including:



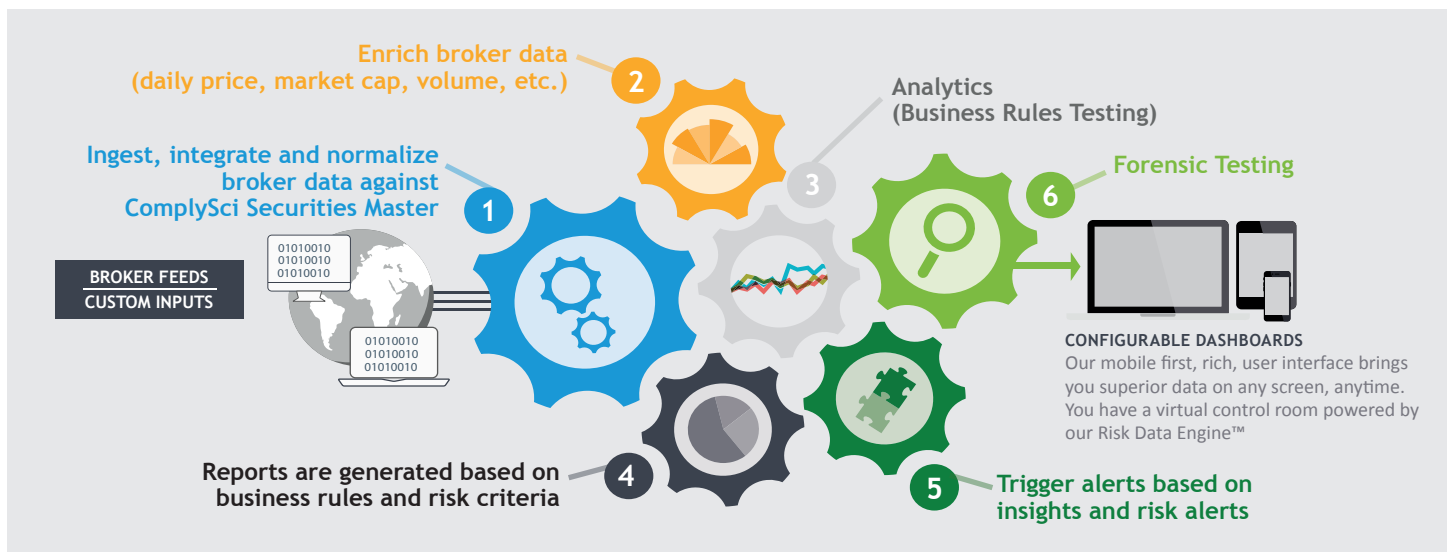
### Features Include

- Dynamic compliance management with sophisticated permissions, roles, groupings and workflows that ensure that compliance processes are always in line with organizational structure
- Ability to design certifications and corresponding workflows on the fly
- “Mobile-first,” responsive interface allows supervisors and employee end-users to access the full-range of functionality from a mobile, tablet or desktop
- Rich proprietary analytics provide insights into behaviors, patterns, trends, and exceptions resulting from employee activities, leading to early detection of anomalies and potential rule violations that can be addressed before they become critical
- Extensive integration options, providing the infrastructure for a client-defined virtual control room
- Full audit trails of the entire process
- Single Sign-On
- Flexible hosting options

## Risk Data Engine™

The ComplySci Risk Data Engine automates and powers the aggregation, cleansing, normalization and enrichment of vast quantities of data from a broad spectrum of data sources. It includes:

- Direct broker feeds from 134 brokerage houses and clearing firms, plus access to hundreds of additional brokers through relationships with custodians and clearing houses
- Ability to integrate and normalize data to and from internal or external sources, including clients' proprietary systems (i.e. order management systems, HR systems, business intelligence tools)
- Most comprehensive and sophisticated Securities Master provides greater data coverage and normalizes and enriches data to ensure accuracy and integrity
- Full transparency of the status and completeness of your broker feeds
- Dedicated data operations teams covering end-to-end operational processes and controls (from ingestion to reporting)



**‘Best in Class’ Customer Support:** The thoughtful integration of technology, dedication to service and extensive industry knowledge allows ComplySci’s Customer Success team to provide its clients with the highest levels of customer support.

## ComplySci Clients

ComplySci is proud to serve **1,000+ clients, 200k+ users** and holds a **97+% client retention rate**.

*“Working with ComplySci has been transformational in the way we administer our compliance program. We have reduced the time we were dedicating to a manual review of brokerage statements by an order of magnitude.”*

**CFO/CCO, VENTURE CAPITAL FIRM**

*“The solution is ideal for pre-clearance, reporting and monitoring of our employees’ personal trading activity and other code of ethics obligations. The system’s flexibility also allows us to use the application for reporting and certifications outside of our code of ethics requirements. The ComplySci team is knowledgeable, professional, and highly responsive. I would strongly recommend them to others in the industry.”*

**CCO, INVESTMENT ADVISORY/BROKER DEALER FIRM**

### Industries we serve

- Investment Banking
- Insurance
- Private Equity
- Hedge Funds
- Pension Funds
- Investment Managers
- Registered Investment Advisors
- Brokerage

[complysci.com](https://complysci.com)