ComplySci

Certifications & Attestations

Requiring employees, contractors, sub-advisors and others to certify periodically that they have received, read, understand, and agree to comply with firm policies and procedures is an important way to keep compliance at the forefront while minimizing risk for the firm. Attestations can be an important tool to help show regulators that you have a strong compliance program, and that it's working.

The ComplySci Platform is the industry's most innovative compliance and risk management solution. It was built to help Compliance officers stay ahead of risk by monitoring, managing and reporting on conflicts of interest arising from their employees.

ComplySci's certifications module was designed to meet the needs of firms large or small, at any sophistication level - from first-time registrants to global financial institutions.

AUTOMATED

You control the distribution dates and reminder parameters – the platform does the rest, helping ensure certifications are distributed, and that employees are automatically prompted to return their completed attestations.

- Automate the distribution and collection process for certifications, across all levels of your organization.
- Generate periodic reminders automatically to those who are delinquent in returning their completed forms.
- Real-time completion monitoring shows all completed and outstanding certifications.

CONFIGURABLE

The ComplySci platform allows you to create meaningful certifications and attestations designed to meet your organization's needs – whatever those needs are – ultimately helping to bolster your compliance program.

- Create robust and detailed questionnaires, with a wide variety of fields and question types.
- Design certifications and corresponding workflows on the fly.
- Build distinct questionnaires and workflows by role or group

USER-FRIENDLY

Mobile-first, responsive interface provides a great experience from a mobile, tablet or desktop.

- Intuitive and accessible interface for both supervisors and end-users.
- Completely responsive, making it easy for mobile and desktop users to access full functionality and complete certifications and attestations from wherever they are.

DATA DRIVEN

ComplySci's data-driven approach identifies red-flag responses that require review or action and provides robust reporting.

- Conditional questions can be built to probe for more detail when specific responses are recorded.
- Monitor employee responses of specific questions to identify outliers that require additional review and automatically notify appropriate supervisor(s).
- Employees can attest to live platform data (Accounts, Holdings, etc.).
- Full audit trail.

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