

# ARE YOU CERTIFIABLE?

**STRESS FREE COMPLIANCE USING TECHNOLOGY  
DRIVEN CERTIFICATIONS & ATTESTATIONS**



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# Employee Groups

**When configuring an effective certification workflow, the ability to establish employee groups by department, function and/or geography is critical.**



While it is typically the case that “all” covered persons are included in all certification cycles, firms should have the ability to carve out specific groups who need to certify based on special criteria.

Either way, a robust platform will connect all covered persons to one or more groups (the default is “All” and the most granular is a group with only one member) so that distribution, tracking, reminders, escalation and reporting can be configured with maximum flexibility.

As the global regulatory environment has become “small, flat and crowded” it is increasingly likely that staff in the US, London and Beijing, for instance, will all need to certify to the same policies.

Accessibility is also a key benefit and is best achieved by using a secure platform that supports both internet and mobile access for this purpose. As the use of mobile devices continues to grow, your RegTech solution should incorporate full mobile responsiveness, and should allow the compliance department, supervisors, and employees to view, complete, submit, and manage certifications using mobile devices.



# Archiving, Audit Trail and Change Control

It is also important to consider how to communicate the strength of your certification audit trail with third parties (SEC, FSA, Internal Audit and Investors).

Change is constant and it is critical that your firm preserves the facts and circumstances surrounding your Written Supervisory Procedures, compliance policies, and your books and records in an audit trail. The objective is to maintain and demonstrate the consistency and integrity of policies and certifications.

A comprehensive platform stresses the importance of maintaining an audit trail that

clearly demonstrates supervision while cataloging periodic updates to policies and procedures as separate records. This concept is also known as “data state maintenance” meaning the original documentation or supporting data is preserved to prove an employee’s certification.

In a nutshell, verify that your firm’s past certifications and policies are locked down and preserved as initially recorded and are thus immutable in your system.

This will provide a clear track record of activity for any potential audit or investigation.

## FINAL THOUGHTS AND CONSIDERATIONS



No matter the organization’s size or the scope of applicable regulatory mandates, the advantages of standardizing workflows with robust technology are becoming increasingly clear. Cost efficiency and risk reduction are immediate and obvious benefits.

Additionally, leveraging market-leading best practices will position compliance teams for success.



# About ComplySci

ComplySci is a leading provider of technology solutions that help compliance organizations identify, monitor, manage and report on conflicts of interest arising from employee activities, including personal trading, gifts and entertainment, political contributions, outside business affiliations, and other code of ethics violations.

Founded in 2003 by early pioneers in the development of automated compliance management solutions, ComplySci is now trusted by over 1,000 customers, including some of the world's largest financial institutions. Compliance Officers rely on ComplySci's scalable and sophisticated platform to stay ahead of risk.

To learn more about ComplySci, please visit [www.complysci.com](http://www.complysci.com).