

# POLITICAL CONTRIBUTION VERIFICATION

## SOLUTION OVERVIEW

As political activism becomes increasingly popular nationwide, Compliance Officers must be diligent in fully complying with Pay-to-Play rules and regulations. Regardless of whether a firm permits employees to make political donations, Compliance Officers have a responsibility to incorporate periodic testing of political donations into their Compliance Program.

ComplySci's Political Contribution Verification module enables firms to identify unexpected political donations and mitigate associated risks. Simply upload a list of employees (and spouses/dependents) or individually search to run a report of all contributions on record.

### FULL EMPLOYEE COVERAGE

Clients no longer need to verify their employees' political contributions manually by visiting each individual state's website and federal databases, nor do they have to rely on random sampling. ComplySci's Political Contribution Verification solution automates the lookups across states and municipalities, allowing it to cross-check every single contribution.

### VALIDATE PRECLEARED OR DISCLOSED CONTRIBUTIONS

ComplySci offers an additional service to compare employees' precleared and self-reported contributions against various public records. This service highlights any exceptions, including employees who: 1) made contributions but did not preclear or report them, 2) contributed more than was precleared or self-reported, and 3) did not make expected contributions.

### COMPREHENSIVE DATA

In order to account for differences in reporting timeframes across states and municipalities, our Political Contribution Verification service incorporates a 3-year rolling look-back, which ensures that nothing slips through the cracks based on search timing. Our political contributions database aggregates data across all 50 states, D.C., and 8 U.S. territories.

### MINIMIZE FALSE POSITIVES

By automating the monitoring process, ComplySci's Political Contribution Verification removes the risk of human error inherent in manual verification processes. ComplySci's flexible queries and user-friendly output are designed to deliver the most accurate and complete results you can get, while reducing the time, aggravation, and cost of complying with Pay-to-Play rules.

### COVERAGE

**50** STATES & D.C.

**8** U.S. TERRITORIES

**1000s** OF  
COUNTIES & MUNICIPALITIES

### UP-TO-DATE

Information following government disclosure

### REGULATIONS

- » SEC Rule 206 (4)-5
- » FINRA Rules 2030 & 4580
- » CFTC Regulation 23.451
- » MSRB Rule G-37
- » State & Local Pay-to-Play Regulations

**ComplySci's Political Contribution Verification solution offers comprehensive coverage that assists with monitoring of compliance to company policies and Pay-to-Play regulations. It provides efficiency and risk mitigation to our firm's compliance program."**

**Compliance Manager,  
Top 15 US Asset Manager**