

THE COMPLYSCI PLATFORM

SOLUTION OVERVIEW

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ComplySci was built to help compliance officers stay ahead of risk by monitoring, managing and reporting on conflicts of interest:

- ✓ Trade
- ✓ Political Contribution
- ✓ Private Placement
- ✓ Outside Affiliation
- ✓ IPO
- ✓ Gifts & Entertainment
- ✓ Marketing Material

FEATURES

- » 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
- » Responsive interface allows users to access the full-range of functionality from a mobile, tablet or desktop
- » Flexible hosting options
- » Single Sign-On— 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 in order to address before they become critical
- » Extensive integration options, providing the infrastructure for a client-defined virtual control room
- » Full audit trails of the entire process

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

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

1100+ CLIENTS

200K+ USERS

Serving these industries:

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

WHAT OUR CUSTOMERS ARE SAYING

« *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 strongly recommend them to others in the industry.*»

CCO, Investment Advisory/
Broker Dealer Firm

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 over 200 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)
- ✔ **Full transparency** of the status and completeness of your broker feeds
- ✔ **Most comprehensive and sophisticated Securities Master** provides greater data coverage and normalizes and enriches data to ensure accuracy and integrity
- ✔ **Dedicated data operations** teams covering operational processes and controls, from ingestion to reporting



- » Ingest, integrate, and normalize broker data against ComplySci Securities Master
- » Enrich Broker Data (daily price, market cap, volume, etc.)
- » Business Rules Testing
- » Reports are generated based on business rules and risk criteria
- » Trigger alerts based on insights and risk alerts
- » Forensic Testing
- » Our rich, user interface brings you superior data on any screen, anytime. You have a virtual control room powered by our Risk Data Engine™

AWARDS & RECOGNITION

- » REGTECH 100 | 2019
- » CFO Tech Outlook | 2018 Top 10 FinTech Solution Providers
- » Silver Stevie Award | 2019 Fastest Growing Tech Company of the Year
- » HFM Technology | 2017 US Technology Award
- » Bronze Stevie Award | 2019 Most Innovative Tech Company of the Year
- » Deloitte | 2015 Technology Fast 500
- » Inc. 500 | America's Fastest-Growing Private Company
- » Legal Tech News | 2015 Innovation Award