THE COMPLYSCI PLATFORM

Navigate complex regulatory challenges and safeguard your firm's reputation by proactively identifying and managing potential risks.
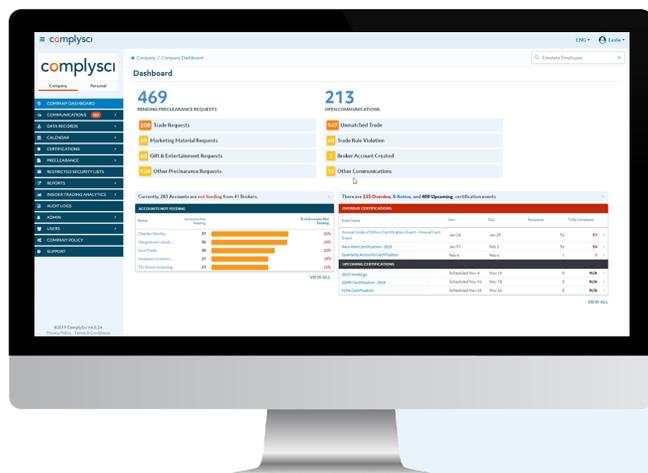
The ComplySci platform is a comprehensive solution built for monitoring Code of Ethics requirements and tracking employee activity against rules and regulations.

MONITOR POTENTIAL CONFLICTS OF INTEREST RELATED TO:

» Personal Trading

» Gifts and Entertainment

» Political Contributions

» Outside Business Affiliations

» Marketing Materials

» IPOs

» Private Placements

ADMINISTER, MANAGE, AND REPORT ON:

» Certifications & Attestations

» Preclearance Requests

» Employee Disclosures

» Compliance Communications

THE BENEFITS OF 360° EMPLOYEE RISK MANAGEMENT

Real-time Insights

» Supervisor dashboards

» Employee dashboards

» Configurable reports

» Visual reports

Infinite Scale

» Localization for global teams

» Multi-level global workflows

» HR enterprise mapping integration

Risk Surveillance

» Analyze individual critical behaviors

» Modify compliance management workflows

Intelligent Automation

» Only monitor exceptions

» Eliminate the paper burden

» Incorporate new features as you scale and grow

> **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."**
>
> **CCO/CFO, Alternative Asset Management Firm**

complysci

200+ Direct Broker Feeds
With integrated electronic broker feeds from more than 200 sources and a robust data normalization process, ComplySci provides unrivaled accuracy and dependability.

Mobile First Architecture
Users can access the full range of ComplySci functionality from a mobile device, tablet, or desktop.

Award-Winning Customer Service
Our dedication to service and extensive industry knowledge allows the ComplySci team to provide our clients with the highest levels of customer support.

Data Entry Service
While ComplySci delivers an unparalleled number of direct broker feeds, some brokers do not have these delivery capabilities. To manage the information from these brokers, ComplySci offers a white-glove, Data Entry Service.

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.

Extensive Integration Capabilities
Leverage Single-Sign-On, FTP Uploads, or direct APIs to integrate ComplySci with other platforms and systems.

Customer Advisory Board
Through both our client advisory board, and regular business reviews with our customers, we solicit feedback about how our technology can best evolve with the industry and our client's needs.

Additional Modules
ComplySci also offers solutions for Political Contribution Verification and Compliance Program Management.

FRICTIONLESS EMPLOYEE EXPERIENCE

"Since working with ComplySci we've seen a 66% reduction in time spent monitoring Code of Ethics, a 5x faster employee preclearance process, and during a time of growth for our firm, we were able to save 2 FTE during onboarding."

CCO, Hedge Fund

UNLOCK THE VALUE OF YOUR COMPLIANCE DATA

ComplySci is a leading provider of regulatory technology solutions that help compliance professionals identify, manage and report on employee conflicts of interests and compliance risk activities, including personal trading, political contributions, and other violations. Founded in 2003, ComplySci is a pioneer in the development of automated compliance management solutions and is trusted today by over 1,100 customers, including some of the world's largest financial institutions. ComplySci is backed by Vista Equity Partners, a leading investment firm that exclusively invests in enterprise software, data and technology-enabled organizations led by world-class management teams.

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