

# GROWTH EQUITY FIRM LEVERAGES COMPLYSCI TO ENSURE TIMELY AND COMPLETE COMPLIANCE APPROVAL OF ALL MARKETING MATERIALS

Before 2018, a New York based growth equity firm relied on its CFO/CCO to manage all Investor Relations responsibilities. After hiring a fulltime Investor Relations professional in 2018, ComplySci's Marketing Materials preclearance module made it simple for compliance to remain engaged in the approval process for any external facing documents and announcements.

ComplySci's Marketing Materials module facilitates a clear approval workflow for all external facing documentation and statements, with an audit trail of compliance communications and feedback. Additionally, because the Marketing Materials workflow is seamlessly built into the ComplySci Platform, the firm's employees can leverage a single solution for all preclearance requests, marketing included.

## PRESENTATIONS & FUNDRAISING DOCUMENTATION

The firm leverages the Marketing Materials module to streamline the review process for all general or LP-specific presentations and ensure that all information is accurate and factual. Whenever an overview deck is updated or a new version is created, the presentation is submitted through ComplySci for final sign-off from Compliance. During fundraising, any investor-specific presentation materials are also submitted via ComplySci for review and approval.

## THOUGHT LEADERSHIP ARTICLES

Private Equity firms are also seeing an uptick in the publication of thought-leadership articles by employees and the firm. As the firm started publishing more articles, compliance knew they needed a solution to keep track of the information that was being released. When their employees write new articles, a draft is always submitted through ComplySci for approval prior to publication. The compliance team logs into ComplySci to review new requests and can directly download a copy of the article. Then, the request is marked approved, denied, or pending additional edits.

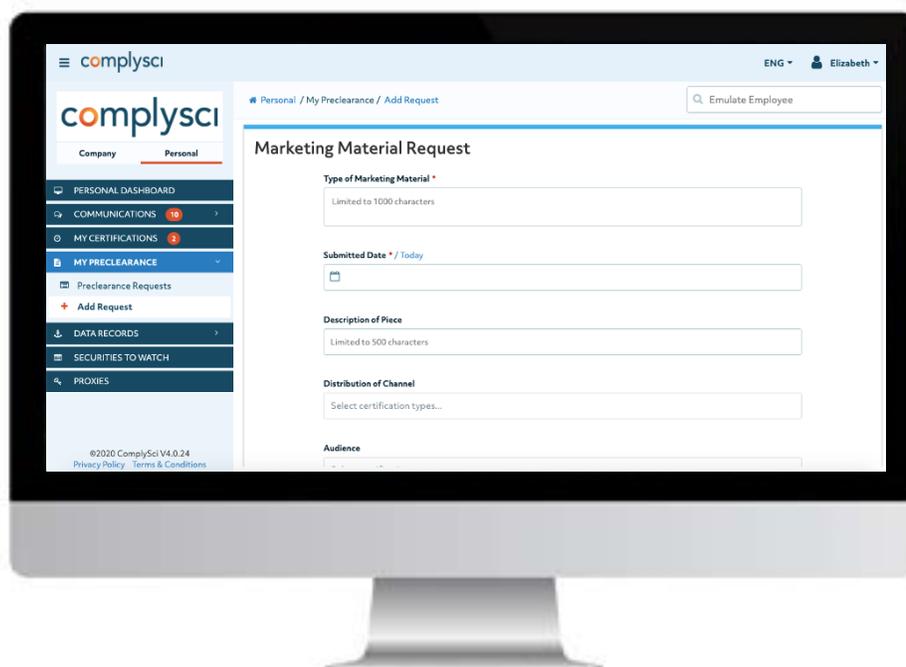
“You are seeing more Private Equity firms embrace the release of thought pieces and are leveraging social media to expand brand presence. As we thought about how we want to build on the presence we already have, we needed a solution to keep track of what is being approved for publication.”

—Deputy CCO

## SOCIAL MEDIA

In addition to more thought-leadership content, the industry is also seeing an increase in the use of social media to promote brand awareness. The firm wanted to build on their existing market presence via social channels while fully complying with the SEC's Advertising Rule. They put a process in place for compliance to review all social media content in ComplySci prior to publication.

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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 1,400 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.

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