

COMPLYSCI MARKETING MATERIALS

SOLUTION OVERVIEW

Financial Institutions have an obligation to share factual and accurate information in any external-facing materials and communications.

ComplySci's Marketing Materials module helps firms manage the submission, review, approval, and archiving of any external facing materials through a preclearance and documentation workflow.

Leverage ComplySci to approve and document:

- External-facing Presentations
- Fundraising Documentation (DDQs & RFPs)
- Thought Leadership Articles
- Social Media Posts
- Employee Speaking Engagements
- Website Copy
- Public Relations Opportunities

CUSTOM RULES

Build rules to streamline marketing requests based on several factors including distribution channel, audience, number of recipients, first date of use, submitter's department, etc.

FLEXIBLE REQUEST FORMS

Leverage ComplySci's out of the box marketing preclearance forms, or build your own to collect the most relevant information for your firm's specific needs.

DOCUMENT REPOSITORY

For marketing materials that may be widely distributed, such as standard investor presentations, Compliance can share materials in ComplySci's document repository to ensure quality and version control.

AUDIT TRAIL

Access a full log of marketing materials requests, results, and communications for simplified reporting during examinations.

FACILITATE COMPLIANCE WITH:

- » SEC Rule 206(4)-1
- » SEC Rule 204-2
- » SEC Rule 34b-1
- » FINRA Rule 2210
- » MSRB Rule G-21
- » FCA FSMA Section 21
- » AIFMD

“More firms are embracing the release of thought pieces and are leveraging social media to expand brand presence. As we thought about how we wanted to build on the presence we already had, ComplySci Marketing Materials allowed us to keep track of what is being approved for publication.”

Deputy CCO
Private Equity Firm