

# POLITICAL CONTRIBUTION VERIFICATION

## SOLUTION OVERVIEW

The 2020 election year and the increased focus on political activism has brought new challenges around monitoring political contributions. Whether your firm permits employee political donations or not, Compliance Officers must be diligent in fully complying with Pay-to-Play rules and regulations. This means monitoring activity by employees and incorporating periodic testing into your Compliance Program.

ComplySci's Political Contribution Verification module identifies political donations made by your firm's employees to help you identify any unexpected activity and mitigate associated risks.

### FULL EMPLOYEE COVERAGE

ComplySci's Political Contribution Verification module simplifies Pay-to-Play rule compliance by automating the lookups across state and federal databases. Verify all of your employees' political donations in one step, rather than manually reviewing state and federal databases or relying on random sampling. We check and cross-check every contribution for you.

### VALIDATE PRECLEARED OR DISCLOSED CONTRIBUTIONS

We go one step further by validating employees' precleared and self-reported contributions against public records, identifying any discrepancies.

Stop searching across state websites and federal databases to monitor political donations. ComplySci's Political Contribution verifies employees' political donations in one automated step, reducing the time, aggravation, and cost of complying with Pay-to-Play rules and regulations.

### COMPREHENSIVE DATA

In order to account for differences in reporting timeframes across states and municipalities, we incorporate 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.

### COMPLETE AND ACCURATE

With flexible queries and a user-friendly output, ComplySci's Political Contribution Verification delivers accurate and complete results available, minimizing duplicates and false positives for manual review.

### 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