

CONFLICT CHECK

SEE THE BIG PICTURE OF RISK ACROSS YOUR ORGANIZATION

UNCOVER ALL CONFLICTS OF INTEREST

Compliance Officers are managing more information than ever before, from personal trades, political contributions, and outside business affiliations to insider information, wall crossing requests, and restricted lists. Searching for potential conflicts of interest across these data streams is often manual, resulting in an incomplete view of an organization's risk profile.

ComplySci helps organizations break down data silos and manage all compliance activities on a single customizable platform. Now, with our industry-leading Conflict Check, compliance teams can search for potential conflicts across all firm and employee data with one global search, proactively checking for conflicts of interest and providing a comprehensive view of risk across an organization.

HOW IT WORKS

With ComplySci Conflict Check, compliance teams can, for the first time, connect disparate data sets to identify potential conflicts of interest and evaluate risk across an organization.

Employees and compliance teams enter any type of compliance information into the ComplySci platform, such as preclearance requests, political contributions, outside business affiliations, and other activities related to a firm's Code of Ethics policies or Control Room-related activities like insider information and expert network requests.

Conflict Check reviews all firm data to identify conflicts previously hidden by siloed data streams. With Global Conflict Check, compliance teams use customizable search parameters, such as keyword, restricted list, security, employee, and date range, to check for conflicts across all firm data. With OneClick Conflict Check, compliance teams can evaluate potential risk as they process compliance activities, so potential conflicts associated with a preclearance request, restricted list, or employee query are displayed in real time.

GLOBAL CONFLICT CHECK

SEARCH PARAMETERS

- Select the Date range to search for conflicts
 - Time Period: Custom (Start Date: 1/1/2021, End Date: 4/30/2021)
- Select the securities for which you want to check conflicts (Enter a value for one or more inputs)
 - Associated Securities: [Search Box]
 - Company Name: [Dropdown]
 - Include All Related Securities:
- Select a restricted list to check for conflicts with companies appearing on the list
 - Restricted Lists: [Search Box]
- Select employees and/or groups that need to be checked for conflicts
 - Employees: [Search Box]
 - Groups: [Dropdown]
- Select which data sets to include
 - Trades: Firm Trades, Private Holdings, Holdings
 - Gifts and Entertainment: Political Contributions, Private Transactions
 - OSAs: Control Room Activities

Clear Filters Search

ONECLICK CONFLICT CHECK

Trade Requests

Company / Preclearance / Preclearance Requests

Trade (7) IPO Private Placement (1) Gifts & Entertainment (2) Outside Affiliation Political Contribution (1) Marketing Material (1) Broker Account

Emulate Employee

Trade Requests

Pending Processed My Requests to Rev... [Dropdown]

Drag a column header and drop it here to group by that column! [New Request]

Pending: The request will remain active until an administrator or group approves or disapproves.

Action	Details	Employee	Username	Request Date	Transaction Type	Security Name
Approve Deny CANCEL View		Josh Feldman	Feldman	2/27/2021	Buy	FRQG - Frog Ltd.
Approve Deny CANCEL View		Albert Abuanza	Abuanza	2/25/2021	Sell	GM - General Motors Co
Approve Deny CANCEL View		Albert Abuanza	Abuanza	2/23/2021	Buy	BABA - Alibaba Group Holding Ltd
Approve Deny CANCEL View		Katherine Shim	Katherine.Shim	2/22/2021	Buy	PRU - Prudential Financial Inc
Approve Deny CANCEL View		CSI AdminJC	CSIAdminJC	1/13/2021	Sell	FORD - Ford Motor Co
Approve Deny CANCEL View		Charles User	Supervisor	11/16/2020	Buy	GOOG - Alphabet Inc
Approve Deny CANCEL View		Charles Steerman	Charles.Steerman	9/22/2020	Buy	SNAP - Snap Inc

1 - 7 of 7 items

Conflict Check

To adjust parameters expand the section below.

SEARCH PARAMETERS

RESULTS

Date	Employee	Data Record Type	Details of Event Activity	Companies
6/1/2019	Test User	Trades	Buy 120 shares valued at 108,000 total	GOOG
	Alexander Conway	Holdings	500 shares valued at 397,100 USD total as of 11/16/2016	GOOG
	Alexander Conway	Holdings	400 shares valued at 317,680 USD total as of 11/16/2016	GOOG
	Alina Shelton	Holdings	500 shares valued at 397,100 USD total as of 11/16/2016	GOOG
	Angelique Harvey	Holdings	600 shares valued at 476,520 USD total as of 11/16/2016	GOOG
	Araceli Holden	Holdings	500 shares valued at 397,100 USD total as of 11/16/2016	GOOG

1 - 100 of 120 items

THE POWER OF COMPLYSCI CONFLICT CHECK

With Conflict Check, compliance teams eliminate time-consuming and incomplete manual data reviews across departments and systems and proactively uncover potential risk before the firm encounters a conflict of interest.

Global Conflict Check and OneClick Conflict Check provide compliance teams a comprehensive view of risk across an organization and integrate automated risk evaluation into all compliance activities, helping businesses make informed and strategic compliance decisions.

THE BENEFITS OF COMPLYSCI CONFLICT CHECK

Evaluate Risk Holistically

- » Connect and normalize compliance data spanning teams, departments, and offices

Build Synergies Across Teams

- » Drive cross-functional collaboration and risk evaluations throughout the entire business

Make Informed Decisions

- » Proactively evaluate all potential conflicts before approving a preclearance or deal request

Unlock the value of your compliance data. Contact us today.