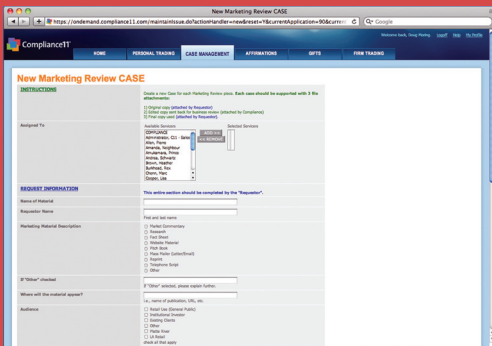


CASE MANAGEMENT

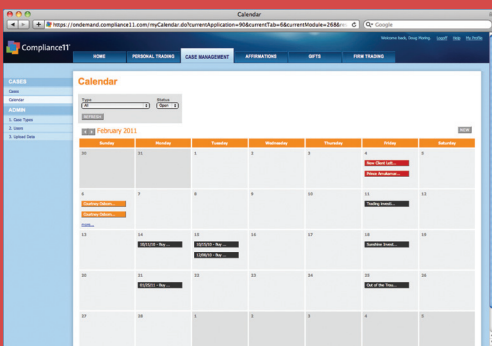
“While we initially engaged with Compliance11 for their Trading and Affirmation functionality, we have also streamlined numerous manual tracking processes in their very flexible Case Management module. We have saved countless hours of data aggregation work from our global Compliance counterparts by migrating our users to a single platform.”

CCO - 4,000 Person Broker Dealer



“I use the Case Management feature to review, approve, and centralize my advertising, marketing and collateral materials. It’s working very effectively. The application is user-friendly, customer service/care is outstanding, and all for a reasonable price.”

CCO - 50 Person Private Equity



Maintaining logs and tracking information are essential parts of a Compliance program. Using Excel or Access to track this information is cumbersome and problematic. Compliance11’s Case Management module provides a centralized, multi-user, workflow application to track information so you can manage risk, not paper.

TEMPLATES

Compliance11 provides pre-designed templates for some of the most common items that must be tracked. Each template can be further customized to meet company specific needs. Also, new templates can be created with no IT assistance to quickly respond to your business requirements. Some of the pre-designed templates include:

- Marketing Review
- Continuing Education
- Litigation
- Issues Tracking
- Regulatory Inquiries
- Trading Exceptions
- Client Complaints
- Registrations
- New Hire Checklist
- Restricted Persons

COMPLIANCE CALENDAR

A calendar view makes it easy to manage your compliance program. Recurring cases (e.g., regulatory filings) can be defined to make sure tasks are not forgotten. Once completed, cases can be annotated and files can be attached to provide evidence of completion. Multi-user access allows supervisors see case details. Cases are color coded so you can easily spot those with approaching due dates.

TRACKING

Cases may be assigned to one or more people. Email notifications can be sent upon assignment. Reminder notices can be sent as due dates approach. Files can be attached. An audit trail of all changes is maintained.

ACCESS CONTROL

Access can be limited by user role. A Creator can create new cases and view their cases. A Servicer can only view cases assigned to them. A Super User has all authority for cases of a particular type.

REPORTING

Advanced search capabilities allow keyword searches on cases. All reports can be customized and exported to Excel and PDF formats.