

SUPERVISORY SUITE



MANAGE RISK, NOT PAPER

DON'T BE THE LAST TO AUTOMATE

Increased regulatory pressure and recent advances in technology are driving firms of all sizes to automate their supervisory processes. Be prepared. Reduce costs. Experience the benefits of automation today.

WHY AUTOMATE?

- Reduce the cost of compliance
- Shorten the duration of audits
- Improve accuracy with policy-based rules
- Only manage the exceptions
- Build a culture of compliance
- Find problems before they find you

WHY COMPLIANCE11?

- **Designed by Compliance Professionals** - Updated quarterly with the latest features
- **Easy to Use** - No training necessary for employees
- **Easy to Implement** - Operational in days with no IT involvement
- **Secure** - Hosted in a SAS70 Type II compliance environment
- **Robust** - Built on highly scalable, redundant, industry standard technology

PERSONAL TRADING

- Monitor for insider trading, front running, restricted lists, de minimis, and more
- Pre-clear trades automatically
- Receive brokerage statements electronically

FIRM TRADING

- Monitor for insider trading

QUESTIONNAIRES

- Create and distribute compliance questionnaires
- Identify and track delinquent employees
- Create custom forms and approve via workflow

GIFTS

- Track gifts, entertainment, political contributions, charitable contributions, and more
- Approve requests automatically based on pre-established limits
- Split gifts across multiple recipients

CASE MANAGEMENT

- Track trade errors, customer complaints, regulatory inquiries, suspicious activity, and more
- Assign tasks to an individual, set due dates, and attach documentation
- Route via workflow for each step of the process

"I love the system. Data collection is infinitely easier and when we are done we can analyze the data in reports. I can't imagine going back to our paper-based process."

*CCO, 1,200 Person
Broker Dealer*

"We used to spend hundreds of hours downloading and printing employee statements. Compliance11's employee trading product has saved us an incredible amount of time. Employees have embraced the instant acknowledgement that their trade has been approved."

*CCO, 40 Person
Investment Advisor*

"While we initially engaged with Compliance11 for their Trading and Affirmation functionality, we have also streamlined numerous manual issues 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, 5,000 Person
Broker Dealer*

"Using Compliance11's software is like having an IT department dedicated to Compliance. They listen to you and add useful features in each quarterly release."

*CCO, 120 Person
Investment Advisor*