

A certifications module designed to meet the needs of firms large or small, from first-time registrants to global financial institutions.

Keep compliance top of mind while minimizing risk with proactive, consistent, and automated acknowledgment of firm policies and procedures.



Certifications and Attestations

Requiring employees, contractors, sub-advisers, and others to periodically complete certifications which state they have received, read, understand, and agree to comply with firm policies and procedures is an important way to keep compliance at the forefront, while minimizing risk for the firm. Attestations can be an important tool to help show regulators you have a strong compliance program and that it's working.

The ComplySci® Platform is the industry's most innovative compliance and risk management solution. **It was built to help compliance officers stay ahead of risk by monitoring, managing, and reporting on conflicts of interest arising from their employees.**



AUTOMATED

You control the distribution dates and reminder parameters – the platform does the rest, helping ensure certifications are distributed, and employees are automatically prompted to return their completed attestations.

- Automate the distribution and collection process for certifications, across all levels of your organization
- Generate periodic reminders automatically to those who are delinquent in returning their completed forms
- Real-time completion monitoring shows all completed and outstanding certifications



CONFIGURABLE

Create meaningful certifications and attestations designed to meet your organization's needs – whatever those needs are – ultimately helping to bolster your compliance program.

- Create robust and detailed questionnaires, with a wide variety of fields and question types
- Design certifications and corresponding workflows on the fly
- Build distinct questionnaires and workflows by role or group

COMPLY™



USER-FRIENDLY

Designed with mobility in mind, our responsive interface ensures accessibility from a phone, tablet, or computer.

- Intuitive and accessible interface for both supervisors and end-users
- Completely responsive, making it easy for mobile and desktop users to access full functionality and complete certifications and attestations from wherever they are



DATA-DRIVEN

Use your data to quickly identify responses which require review or action, and document all activities for robust reporting and a full audit trail.

- Conditional questions can be built to probe for more detail when specific responses are recorded
- Monitor employee responses of specific questions to identify outliers which require additional review and automatically notify appropriate supervisor(s)
- Employees can attest to live platform data (accounts, holdings, etc.)
- Full audit trail



Contact us to
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COMPLY™