



ComplySci® Interoperability

APPLICATION PROGRAM INTERFACE (API)

Secure, powerful REST APIs allow for programmatic access to our employee Code of Ethics services, facilitating data connections between the ComplySci Platform and data platforms used by your firm. With a single hub integrating all relevant data, API-enabled data interoperability helps you realize operational efficiency, create connected experiences, and solve for reporting needs.

Operational Efficiency

Automate Manual Processes

- Connections with HR systems, such as Workday, reduce the amount of time needed to onboard and offboard employees and update employee information in the ComplySci Platform – trigger programmatic creation of pre-hire and new hire certifications
- Seamless integration with Expense Management systems enables real-time and accurate pre-approvals and expense reimbursements – automate reconciliation and validation of client data
- OMS connections allow real-time updates of restricted lists and automated trade execution
- Leverage secure integrations with Intapp's DealCloud, ZenLedger, and others to enhance capabilities, automate compliance reviews, accommodate black box firm trading or proprietary algorithms, and more

Connected Experiences

Create a Unified Experience by Unlocking Siloed Systems

- Leverage your intranet and increase employee engagement by ingesting and displaying certifications, pre-approvals, and reminders from the ComplySci Platform
- Facilitate comprehensive alert systems by integrating compliance communications items

Reporting

Consolidate Compliance Data to Drive Greater Insights

- Compare personal trade data against firm trades to look for market abuse.
- Integrate compliance data into your own business intelligence tools for enhanced analysis

SINGLE SIGN-ON (SSO)

Our SSO capabilities integrate with your active directory using any authentication manager, enhancing overall security and bolstering access controls.

FILE TRANSFER PROTOCOL (FTP)

Templates simplify ingesting data via FTP load files, letting you easily leverage your firm data in the ComplySci Platform.

Employee Data

- Leverage our employee FTP template to create multiple employee accounts or mass edit/retire existing users

Employee Holdings and Transactions

- When onboarding new employees, upload historical holding and transactional data from your employees' brokerage accounts
- For ongoing transactions and holdings with brokerage firms that do not electronically feed into the ComplySci Platform, easily import statement data

Firm Trades

- As your firm makes trades, bulk upload these trades to monitor for insider trading

Company Data and Restricted Securities Lists

- Add multiple securities to restricted securities lists (blacklists, whitelists, greylists, etc.)

Broker Accounts

- During implementation or when onboarding new hires, upload your employees' accounts en masse

Private Placements

- Upload your employees' private placement holdings, as well as any related transactions

Gifts and Entertainment

- Upload data related to your employees' gifts and entertainment records

Outside Business Activities

- Import information related to your employees' outside business activities

Political Contributions

- Upload your employees' political contributions data

Contact us to
learn more at
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COMPLY™