



Marketing Materials

Financial Institutions have an obligation to share factual and accurate information in any external-facing materials and communications.

With the Marketing Materials solution on the ComplySci® Platform, **firms can manage the submission, review, approval, and archiving of any external facing materials** through the same preclearance and documentation workflow used for other compliance activities.

Approve and Document:

- External-facing presentations
- Fundraising documentation, such as DDQs and RFPs
- Thought leadership articles
- Social media posts
- Employee speaking engagements
- Website copy
- Public relations opportunities

Facilitate Compliance With:

- SEC Rule 206(4)-1
- SEC Rule 204-2
- SEC Rule 34b-1
- FINRA Rule 2210
- MSRB Rule G-21
- FCA FSMA Section 21
- AIFMD

“More firms are embracing the release of thought pieces and are leveraging social media to expand brand presence. As we thought about how we wanted to build on the presence we already had, managing marketing materials on the ComplySci Platform allowed us to keep track of what is being approved for publication.”

– Private Equity Firm Deputy Chief Compliance Officer

Talk to an expert today!

sales@comply.com

COMPLY™

Custom Rules

Build rules to streamline marketing requests based on several factors, including distribution channel, audience, number of recipients, first date of use, submitter's department, and more. Align your marketing review to processes that work for your organization.

Flexible Request Forms

Leverage out-of-the-box marketing preclearance forms or build your own to collect the most relevant information for your firm's specific needs.

Document Repository

For marketing materials that may be widely distributed, such as standard investor presentations, compliance teams can maintain a document repository on the ComplySci Platform to ensure quality and version control.

Audit Trail

Access a full log of marketing materials requests, results, and communications for simplified reporting during examinations.