

COMPLY Program Management

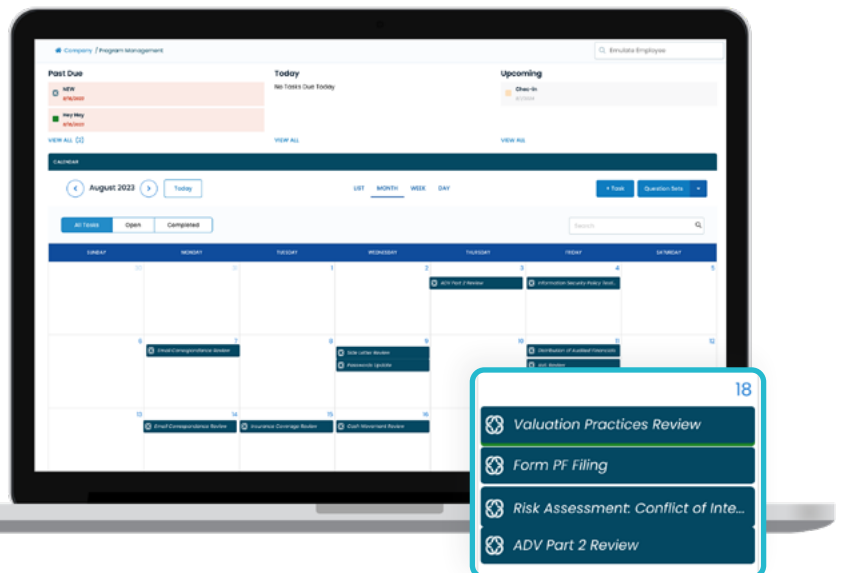
Level up your compliance program management with software and service designed by compliance experts for compliance professionals.

COMPLY Program Management is a centralized, comprehensive platform for managing the full scope of a firm's compliance program. Fully integrated with our employee trade monitoring platform, COMPLY Program Management offers an all-in-one solution for firm compliance, eliminating information silos and offline data management.



COMPLIANCE CALENDAR

The Compliance Calendar **automatically populates with deadlines and requirements** tailored to your firm's policies and procedures. Our compliance experts monitor regulatory changes and publish best-practice instructions and updated compliance guidelines, ensuring your calendar remains up to date. Organize your team, view task status updates, identify any gaps to swiftly reallocate resources or responsibilities and document your compliance program throughout the year.



Manage firm-wide regulatory compliance requirements and employee code of ethics monitoring in one platform with COMPLY Program Management.

COMPLY™

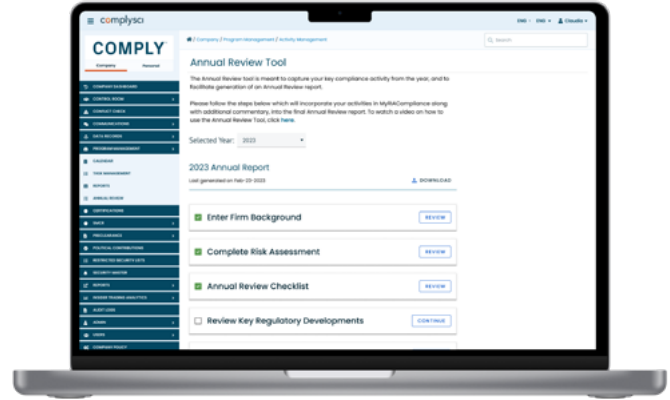
COMPLY with confidence.

Simultaneously execute and document your annual review, simplifying compliance with Rule 206(4)-7 of the Investment Advisers Act of 1940 and the SEC's 2023 updates to annual review requirements for investment advisers.



ANNUAL REVIEW TOOL

The Annual Review tool is a **guided, digital and documented annual review solution**. The tool automatically builds written documentation while firms execute compliance activities throughout the year, and the integrated Risk Assessment module guides firms through a comprehensive review of their compliance policies and procedures to identify potential compliance breaches.



ANNUAL REVIEW SERVICE

Too busy to DIY? Engage **expert support and hands-on guidance** for your annual review with our software and annual review service. Your expert compliance consultant will keep your firm on track with monthly check-ins, review and set up of regular compliance testing activities and documentation of results.

Talk to an expert today!

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COMPLY™

