

# Control Room

Monitor firm-wide activities and conflict checks

## The benefits of Control Room

### Easy to use

- » Simple workflow for employees and supervisors.
- » Familiar interface accessible within the ComplySci platform.

### Comprehensive

- » Manage any type of activity.
- » Automatically associate employee activities and firm activities.
- » 360-degree view of all information related to an employee, company or activity.
- » Conflict checking across all information in ComplySci.

### Customizable

- » Flexible interface works the way you work.
- » Customization on both the company and employee levels.
- » Organize activities based on your firm's requirements.

## Compliance Control Room

ComplySci's secure, integrated Control Room solution simplifies activity tracking and conflict checking by logging and associating company activities and employee activities to proactively identify any potential conflicts of interest and market abuse.

Manage any type of activity or material nonpublic information (MNPI), such as deals, wall crossing, insider information, meetings, speaking engagements, communications, trades, gifts and entertainment disclosures or outside business affiliations, all within the ComplySci platform.



**Stop searching across spreadsheets, systems and departments for potential conflicts. Control Room's 360-degree view of employee and firm information reimagines conflict checking, builds synergies across teams and safeguards your firm's reputation by preserving the integrity of your data and processes.**

# Control Room facilitates:

- **Activity logging:** Manage any type of activity in a customizable interface aligned with your firm's needs. Employees and the compliance team can disclose information, upload relevant documents and add notes.
- **Wall crossing:** Facilitate secure information sharing and build insider lists with an approval workflow for access requests. Know exactly who knows what, when.
- **Conflict checking:** View and search across all information in the ComplySci platform to identify potential conflicts, misuse of information or instances of market abuse.
- **Restricted list management:** Simplify creation and management of company-specific restricted securities. Seamlessly manage multiple lists and view employee or firm trading activity.
- **Document management:** Streamline management of documents containing confidential and insider information by associating them with activities in Control Room.
- **Reporting and audit trail:** Easily export insider lists and comprehensive timelines, building an audit trail of your firm and employee activities.

**"Whether it's one compliance team that deals with everything, or whether it's a dedicated team that deals specifically with Control Room, using tech to minimize the effort in understanding and analyzing data results is key."**

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