

AFFIRMATIONS AND DISCLOSURES

“The positive employee response was unexpected. People like the idea of solving Compliance issues on the computer instead of manually responding to 15 forms.”

CCO - 20 Person Investment Advisor

Having employees affirm to your firm’s policies and disclose any potential conflicts of interest is basic to establishing an effective compliance program. Using paper or Word forms to collect this information creates a massive distribution and collection effort. Compliance11’s Affirmations module manages your affirmations and disclosures electronically so you can manage risk, not paper.

TEMPLATES

Compliance11 provides pre-designed templates for some of the most common affirmations and disclosures. Each template can be customized to meet company specific needs. Also, new templates can be created with no IT assistance to quickly respond to evolving regulatory requirements. Some of the pre-designed templates include:

- Policy Acknowledgements
- Outside Business Activities
- Outside Brokerage Accounts
- Private Securities Transactions
- Criminal/Disciplinary Activity
- U4 Updates

DISTRIBUTION

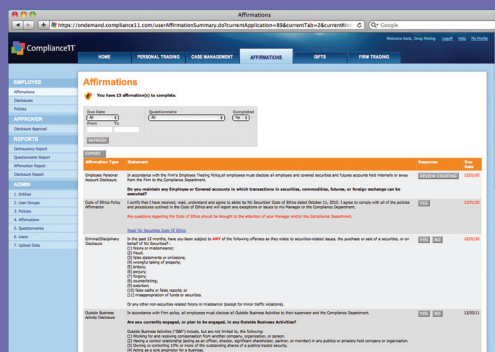
Questionnaires can be sent to one or more groups of employees. Upon distribution, employees receive a personalized email with a link to the questionnaire. If they do not complete the questionnaire within the allotted time period, automated emails can be sent to remind them to complete the questionnaire. Questionnaires can be automatically sent to new employees.

DISCLOSURES

Completed disclosure forms can be routed via workflow to one or more approvers. Different disclosure forms can be routed to different approvers. Disclosure forms can automatically carry forward to next year so employees do not need to re-enter information (e.g. outside business activities, brokerage accounts, etc.).

REPORTING

Reports are available to Compliance to do additional analysis. Reports include: Delinquency Report, Affirmation Report, Disclosure Report and more. All reports can be customized and exported to Excel and PDF formats.



“The Compliance11 team is very responsive, provides outstanding customer service and is always ready to hear suggestions. It’s almost like having a development team of your very own!”

CCO - 250 Person Investment Advisor

