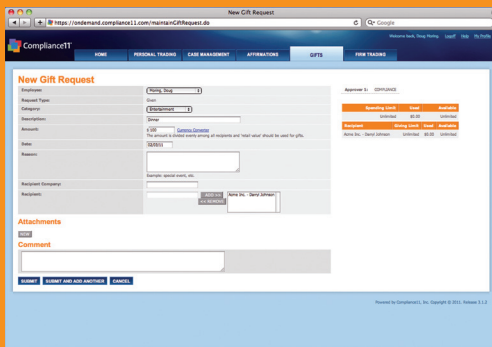


GIFTS, ENTERTAINMENT AND CONTRIBUTIONS

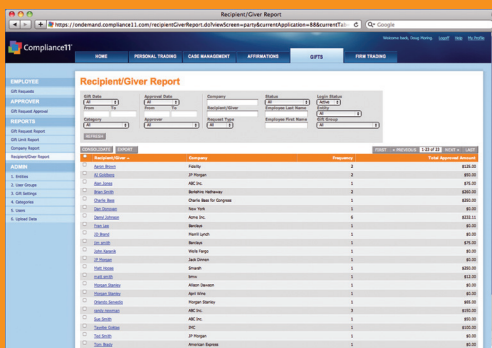
“Using Compliance11 allows us to focus on our critical surveillance and advisory issues, improve our overall clerical process and our ability to respond to client needs while reducing our Compliance spend.”

CCO - 625 Person Broker Dealer



“Getting employees to utilize new technology is always a struggle, but with Compliance11 this concern was minimized significantly. Rolling out the Gifts, Entertainment and Contributions module required very little training as the interface is extremely user-friendly and our employees appreciate the small amount of time required to disclose their requests.”

CCO - 50 Person Investment Advisor



Maintaining a log for gifts, entertainment and political contributions are essential for meeting regulatory requirements and managing potential conflicts of interest. Excel logs or expense system reports leave many events untracked. Compliance11's Gifts, Entertainment and Contributions module streamlines disclosure, aggregation and reporting so you can manage risk, not paper.

DISCLOSURE

Employees disclose gifts, entertainment and/or political contributions through an easy-to-use web interface. Employees can see how much money has already been spent. If limits have been exceeded, employees are warned before request submission. Each disclosure electronically captures the date the employee disclosed the information.

APPROVAL

Depending on your requirements, requests can be routed for manual or automatic approval. If a gift exceeds the limit, it can either be automatically denied or routed for manual review.

BUSINESS RULES

Different giving and receiving limits can be set for gifts, entertainment and contributions. Also, different limits can be set for different groups of employees. In addition to total limits, per gift limits can be set.

AGGREGATION

A list of companies and their employees is maintained to facilitate entry of requests and to avoid duplicate entries. If a company or person is inadvertently added twice, they can be consolidated by Compliance to provide accurate reporting.

REPORTING

Reports are available to Compliance for additional analysis. Reports include: Requests, Limits, Company Summary, Recipient/Giver Summary and more. All reports can be customized and exported to Excel and PDF formats.