



## COMPLIANCEEDGE

# Revolutionary Trade Surveillance and Account Monitoring Platform

*Enabling Compliance Officers to Drive Change*

### **Transformative**

With changing regulations and market dynamics, compliance is now driving the evolution of Broker Dealers and RIAs. We provide the tools and services to empower CCOs to take an innovative approach and drive meaningful change.

### **Knowledgeable**

Compliance officers need to be able to act quickly and decisively to mitigate risk. With ComplianceEdge, they can access unparalleled depth of data to make the best short and long term decisions for their firm.


### **Proactive**

Post-trade reporting and alerts that need to be reconciled are a thing of the past. ComplianceEdge captures all investment data daily and uses a customized rules engine to deliver valuable insights across the front, middle, and back office.

# We Address Your Critical Business Needs


## Reduce False Positives & Minimize Noise

 **Challenge**  
Excessive alerts from trade surveillance and account monitoring.

 **Solution**  
ComplianceEdge reduces false positives through a rich data model and configurable rules engine, resulting in less time spent researching non-issues.


## Remove Regulatory & Reputational Risk

 **Challenge**  
The Regulatory landscape is evolving at speeds that make it difficult for firms to keep up.

 **Solution**  
ComplianceEdge's features are designed to provide flexibility and efficiency to map to regulatory requirements and prevent fines & reputational risks.


## Lack of Data Visibility

 **Challenge**  
Compliance professionals need insights into all investment recommendations

 **Solution**  
ComplianceEdge's deep data model and expanding rules engine ensures there are no blind spots across the trading ecosystem.

## Unify Accounts To Eliminate Costs

 **Challenge**  
Fiduciary, Advisory, and Brokerage accounts have different regulators and rules, requiring multiple compliance solutions.

 **Solution**  
ComplianceEdge allows Fiduciary, Advisory, and Brokerage accounts to be on the same compliance platform, reducing both hard and soft costs.

# Our Features

ComplianceEdge delivers best-in-class surveillance & monitoring with sophisticated workflow and case management tools including robust reporting and oversight.



## Data Management

The depth of investment data and numerous interfaces combined with our approach to data science is the foundation of all the ComplianceEdge technology.



## Trade Surveillance

Transactions are surveilled daily to monitor for suitability, conflict of interest and rep registration obligations to ensure proper investment recommendations.



## Trade Blotter

The supervisory professional responsible for reviewing trades can easily identify and sort trades, comment on trades or alerts, and reconcile everything proactively.



## Account Monitoring

Monitor positions and account data each day against benchmarks, thresholds or configurable rules set by the firm.



## Oversight and Reporting

Management screens and reports enable real-time reporting on alerts and reviews.



## Client Account Reviews

Advisories & fiduciaries can perform formal reviews to continuously understand client goals to ensure proper recommendations.



## Investment Reviews

Ability for Bank Trusts to perform annual Reg 9 reviews for all discretionary and advisory accounts.



## Administrative Reviews

Bank Trusts can perform administrative reviews when they act as a fiduciary or trustee.

## Who We Serve



### Broker Dealers

As a broker dealer, you have been adjusting your business model to meet new FINRA requirements. You need a robust trade surveillance platform that enables you to monitor all rep brokerage activity quickly and efficiently.



### Dually Registered/RIAs

As a dually registered firm, there is an RIA side to your business with Advisory Assets that are regulated by the SEC, which has different requirements from FINRA. The SEC requires a Duty of Care and Loyalty, and Annual Reviews. ComplianceEdge is designed to meet these needs.



### Bank Trusts

ComplianceEdge enables Bank Trusts to comply with OCC requirements for Reg 9 and Administrative Reviews in a scalable and comprehensive manner.

## COMPLIANCEEDGE

Deep knowledge of the investment process and compliance arena have always been our North Star. It enables us to deliver unparalleled outcomes for our customers and their clients. Request a demo to explore our solution.



**110+**  
Clients



**2 Tril+**  
AUM



**7.2 MM**  
Client Alerts



**620k**  
Client Annual  
Reviews



**0**  
Failed Regulatory  
Audits



**98%**  
Customer Retention



*We are extremely pleased with the ComplianceEdge solution, which has so far proven to be an incredibly well-designed product. The implementation process has been exceptional, allowing a seamless transition from our legacy vendor.*

**- Richard West, General Counsel & Chief Compliance Officer of Snowden Lane Partners.**