



ABOUT US

Compliance11, Inc. is a leading provider of cloud-based compliance automation software for brokerage firms, hedge funds, investment advisors, private equity firms, pension funds and public companies. Our scalable and customizable platform centralizes your disclosure, tracking, surveillance and reporting needs freeing you to manage risk, not paper.

EASY TO USE

Our user-friendly interface makes it easy for your employees to meet the requirements of your compliance program while significantly reducing your administrative time and resources. Our world-class customer service team provides professional and responsive support to help make your compliance team successful.

EASY TO IMPLEMENT

Compliance11 products are built using Software-as-a-Service (SaaS) technology, which means implementing Compliance11 is like plugging in an appliance. Our secure platform, hosted in a SAS70 Type II environment, can be implemented in days with little to no IT involvement.

ALWAYS UP-TO-DATE

Our network of compliance professionals stays apprised of the latest regulatory requirements and proactively ensures that our products remain best-in-class.

PRODUCT OVERVIEW

PERSONAL TRADING

Supervising your employee trading activity is critical to adhering to regulatory requirements, operational integrity and your firm's code of ethics. Compliance11 streamlines the administration of your employee trading surveillance through an automated, user-friendly platform.

- Employee Trading
- Electronic Feeds
- Restricted List
- Pre-Clearance
- Insider Trading
- Business Rules

AFFIRMATIONS AND DISCLOSURES

Distributing and acknowledging receipt of firm policies and procedures and collecting employee disclosures are critical to establish an effective Compliance program. Compliance11 distributes, collects, tabulates and monitors your affirmations and disclosures electronically, creating an audit trail and significantly reducing the amount of time needed to administer this process.

- Policy Acknowledgements
- Annual Compliance Questionnaire
- Quarterly Reporting
- New Hire Paperwork
- U4 Updates
- Outside Business Activities

GIFTS, ENTERTAINMENT AND CONTRIBUTIONS

Maintaining logs for gifts, entertainment and political contributions and supervising your employees regarding these activities are essential in meeting regulatory requirements and managing potential conflicts of interest. Compliance11 simplifies the disclosure, administration and surveillance of your employees' gifting, entertainment and political contributions.

- Gift Giving/Receiving
- Political Contributions
- Entertainment

CASE MANAGEMENT

Maintaining logs and tracking information are essential parts of a Compliance program. Compliance11 organizes the information that you are required to maintain. You can tailor cases or utilize one of our many pre-built Case Management templates:

- Advertising
- Continuing Education
- Registrations
- Arbitration/Litigation
- Marketing Review
- Regulatory Inquiries
- Client Complaints
- New Hire Tracking
- Trading Exceptions