

OneSumX[®] GRC EMPLOYEE COMPLIANCE

Control Code of Ethics Surveillance and Compliance Risks

A major concern for today's Compliance Officers is the difficulty in monitoring employees' personal trading activities and identifying conflicts of interest in accordance with best practice and industry regulations. In addition, Compliance departments must ensure that employees adhere to the many regulations governing the giving and receiving of gifts and entertainment.

OneSumX GRC Employee Compliance is part of the GRC Suite of OneSumX. Employee Compliance automates the surveillance process and enables your firm's Compliance department to effectively monitor all aspects of Code of Ethics compliance. Your Compliance department gains an efficient process that reduces manual procedures, increases productivity, and provides an effective control for compliance and operational risks.

An Integrated Approach to Employee Compliance

Personal Trading

Monitors employee personal trading to identify and prevent insider trading

Certifications

Automates process of employee certifications and disclosures

Gifts & Hospitality

Monitors employee gifts and hospitality to identify possible conflicts of interest

Political Contributions

Tracks employee political contributions to validate compliance with company policies

Outside Activities

Employee outside business activities are disclosed and reviewed for possible conflicts of interest

Maintain Compliance in Accordance with Best Practices and Regulations

- **Flexible and Real-Time Rules** to meet regulatory requirements, such as SEC Rule 17j and Rule 204A-1
- **Automated Confirm and Holdings Processes** eliminate the tedious manual procedures associated with receiving, reviewing, and archiving trade confirms
- **Certification, Disclosure and Reporting** built-in, including holdings, transactions, brokerage accounts, and Code of Ethics review
- **Automatic Memo Distribution** writes and automatically distributes memos to employees, such as certification reminders and 407 letters
- **Robust Reporting Capabilities** allow viewing, filtering, and sorting of historical data
- **Account Statement Tracking Employees** uploads account statements through the iTrade portal so that compliance can track and review

- **Mobile App** capabilities provide employees and compliance professionals with remote access to the pre-approval review process
- **Available as an ASP** or enterprise hosted solution, this system is based on Microsoft .NET architecture with SQL Server database and can receive data feeds from all major trading systems, portfolio accounting systems, and human resources databases
- **World-Class Service and Support** provides hands-on support and comprehensive training

Global Security Master Provided by SIX Financial

We partner with SIX Financial to provide a comprehensive global security master as an option to your subscription. Incorporating this security master eliminates data constraints felt by many clients that rely upon trade order management systems for security master data.

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