

Full Lifecycle Outside Accounts Management

Providing the insight you need into your employee's outside accounts.



Account Disclosure and Attestation

- Customizable intake form to ensure newly disclosed accounts meet your firm's guidelines.
- Automatically routed submissions through a pre-defined multi-level approval process.
- Ability to track and route for approval pre-clearance of trades and private securities transactions.



Holdings and Transactions

- Adherence to the SEC Code of Ethics attestation requirements for holdings and transactions.
- Holdings and transactions records can be loaded manually or received electronically on a nightly basis from selected Brokerages.
- Configurable attestation cycles to ensure the accuracy of employee accounts, holdings and transactions. These attestations can be included in a comprehensive list of annual requirements.



Statement Requests, Tracking and Cancellations

- Customized 407 letters automatically generated for mailing or transmitted to the brokerage electronically.
- Multiple notifications including terminated employees with active accounts, overdue statements, account changes and attestation reminders and status.

Key Features

- Configurable intake form and flexible approval routing allow you to collect relevant information and minimize the impact on your existing workflows.
- Flexible attestation scheduling lets you decide when to require your employees to verify their accounts.
- Reduce the time required to record duplicate statements and be notified when statements are late.
- Automated 407 letter generation eliminates the need for form letters.
- Targeted notifications of representative and account changes keep everyone informed, assuring your processes are being followed and help guarantee you are tracking relevant accounts.
- Electronic brokerage feeds reduce the time spent tracking receipt of monthly statements and provides insight into account transactions.
- Provides a comprehensive set of tasks for employees to complete when incorporated into your existing RegEd Program Status.