



Compliance



Introducing

ComplianceExpress™

Disclosure Delivery Engine

Reg BI establishes a “Best Interest” standard for brokers and advisors when making investment recommendations to their clients. ComplianceExpress™ makes it easy for advisors to send and track the e-delivery of disclosure events to investors.

A Powerful App to Manage Document Delivery and Record-keeping Transactions

ComplianceExpress™ is a powerful app to manage document delivery and record-keeping transactions to support regulatory compliance requirements. It can be used as a standalone disclosure and record-keeping solution, or with ShelfMonitor™, PeerCompare™, or third-party products via APIs.

InvestorCOM

You have 0 Items to Deliver

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Search Documents | Delivery and Investor Info | Confirm and Send | Quick List

Compliance Reporting

Please allow 5 minutes for a delivery transaction to register in compliance reporting.

REMOVE FILTERS | EXPORT TO CSV

Order Number	Delivery Type	Delivery Date	First Name	Last Name	Client Identifier
737468	In-Person	04-22-2020	Dave	Carr-Pries	
737467	Email	04-22-2020	Dave	Carr-Pries	

Copy Order

Email: dcarr-pries@investorcom.com

Client Identifiers:

Delivery Status: Delivered on April 22, 2020 at 3:50 PM

Opened Status: Email not opened yet

Reg BI Status: Fee disclosure completed on April 22, 2020 at 1:12:23 PM

Reg BI Fee Disclosure Completed

[Click here to add notes](#)

Delivered Documents

Documents

Form CRS

Fund ID Code

Viewed Status

Document not viewed yet

FS0000CLEA

Capture all client disclosure transactions in one place

Export reporting data to CRM or ERP

Track delivery and document opens

Deliver all client disclosure docs on a single digital platform.

Simplifies the Document Disclosure Process

ComplianceExpress™ features robust libraries of up-to-date disclosure documents:

- Public Library – Stores broker-dealer documentation, i.e., Form CRS, privacy policies, product disclosure documents or forms.
- Private Library – Stores advisor's personal documents, i.e., Form ADV 2B, KYC forms, financial planning documents.

Document e-delivery and record-keeping is managed through ComplianceExpress™. This includes the advisor's notes, email delivery/open and document open timestamps.

When e-delivery isn't an option, in-person and physical delivery of documents is also supported. These options automatically create disclosure activities so all events can be tracked and managed in a single place.



20,000+ Advisors use ComplianceExpress™ to create 10+ million disclosure and record-keeping events every year.

Consolidates Real-Time Reporting for All Disclosure Events

All disclosure activities can be reviewed and reported at the advisor or client level, the branch, or enterprise-wide.



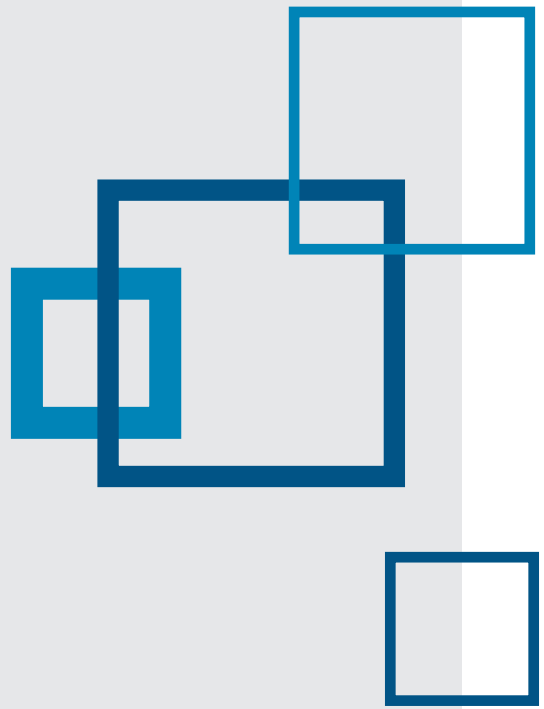
Get audit-ready.



Meet the disclosure and record-keeping obligation requirements set out in Reg BI.



Get the solution up and running quickly.



Get started with ComplianceExpress™ today!

Contact RegBIReady@investorCOM.com
for a demo and to start your free 30-day trial.

InvestorCOM is a leading provider of software and outsourcing services to the wealth management industry.

Our intuitive and innovative suite of RegTech solutions enable effective communications and disclosure in an increasingly regulated environment.

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