

ComplianceExpress™

Simplify document disclosure and recordkeeping.

WATCH VIDEO

ComplianceExpress is a powerful app to manage document delivery and record-keeping transactions to support regulatory compliance requirements.

It is fully integrated with apps on the compliance platform and can integrate with third-party products via APIs. It can also be used as a standalone compliance and recordkeeping solution.

Hi Amy Smith [Sign Out] | Administration Site | Français

Event Number	Type	Event Date	Security Type	Security Name	Security Code	First Name	Last Name
2738	Rollover Analysis	2023-05-15			N/A	Jennifer	Collins
2733	PC Recommendation	2023-05-11	Mutual Fund - ETF (USA)	American Funds New World A	NEWFX		
			Mutual Fund - ETF (USA)	Franklin Income A1	FKINX	One	Scenario
			Mutual Fund	Franklin Income A	FKIQX	randy	barnes

Transaction Details (2738):
 Date & Time: Monday, 15 May 2023 11:19
 Investor: Jennifer Collins
 Information, Recommendations and Relative Performance Data were disclosed to the Investor regarding the following security:
 PLAN_IRA
 Email: jcollins@stratoswp.com
 Delivery Status: Sent on May 15, 2023 at 11:19 AM
 Opened Status: Document not viewed yet

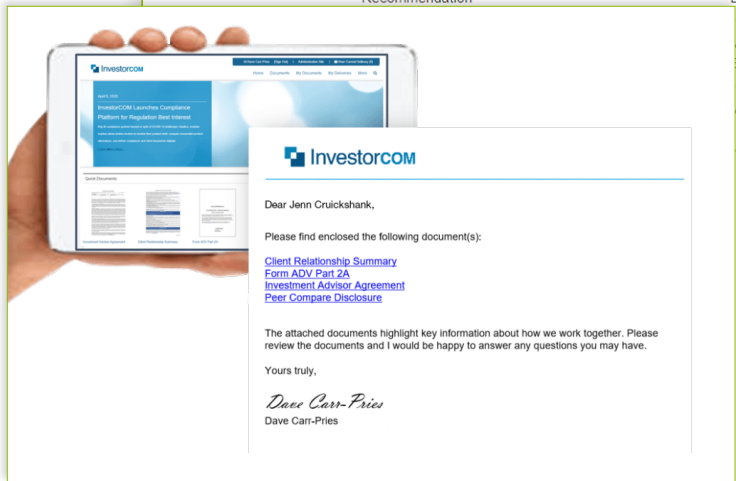
Delivered Documents:
 IRA_20230515111909 Recommendation: PLAN_IRA
 Document viewed status : Document not viewed yet

Capture all client disclosure transactions in one place

Track delivery and document opens

Add/View Notes
View Compliance Checks

Export reporting data to CRM or ERP



Deliver all client disclosure documents on a single digital platform.

A powerful disclosure delivery engine.

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.

Be ready for an audit or examination.

Maintain a comprehensive audit trail of all client disclosure. ComplianceExpress manages the recordkeeping aspects of every analysis, recommendation and disclosure event.

Integrated compliance reporting is available at the advisor, client, branch and enterprise level.

See a demo of ComplianceExpress
InvestorCOM.com/demo

About InvestorCOM Inc.

InvestorCOM is a leading provider of regulatory compliance software solutions for the wealth management industry. Our high value, intuitive solutions eliminate compliance risk for our clients.

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