

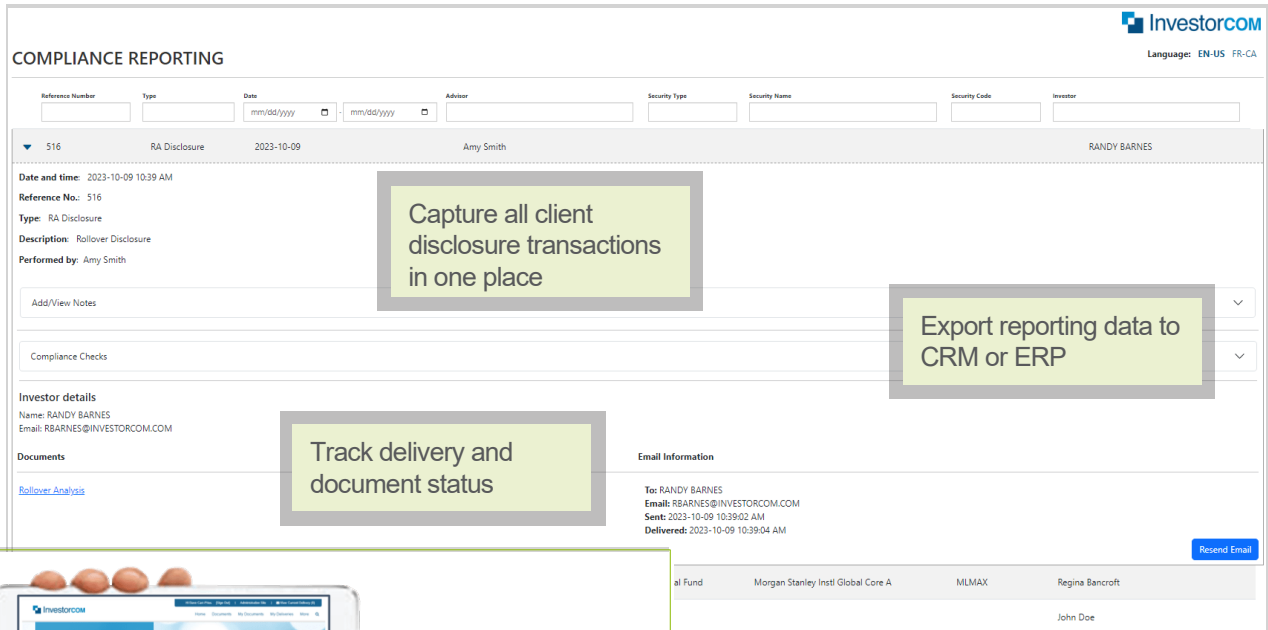
ComplianceExpress™

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.



COMPLIANCE REPORTING

InvestorCOM
Language: EN-US FR-CA

Reference Number Type Date Advisor Security Type Security Name Security Code Investor

516 RA Disclosure 2023-10-09 Amy Smith RANDY BARNES

Date and time: 2023-10-09 10:39 AM
Reference No.: 516
Type: RA Disclosure
Description: Rollover Disclosure
Performed by: Amy Smith

Add/View Notes

Compliance Checks

Investor details
Name: RANDY BARNES
Email: RBARNES@INVESTORCOM.COM

Documents
[Rollover Analysis](#)

Email Information
To: RANDY BARNES
Email: RBARNES@INVESTORCOM.COM
Sent: 2023-10-09 10:39:02 AM
Delivered: 2023-10-09 10:39:04 AM

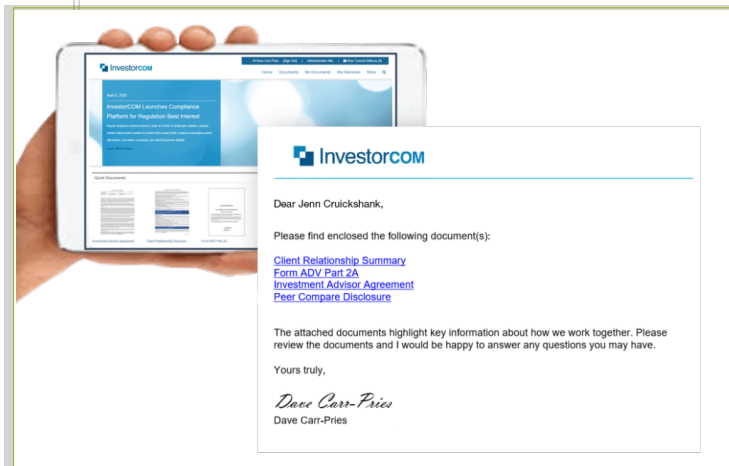
Resend Email

al Fund Morgan Stanley Instl Global Core A MLMAX Regina Bancroft John Doe

Capture all client disclosure transactions in one place

Export reporting data to CRM or ERP

Track delivery and document status



InvestorCOM

Dear Jenn Cruickshank,

Please find enclosed the following document(s):

- [Client Relationship Summary](#)
- [Form ADV Part 2A](#)
- [Investment Advisor Agreement](#)
- [Peer Compare Disclosure](#)

The attached documents highlight key information about how we work together. Please review the documents and I would be happy to answer any questions you may have.

Yours truly,

Dave Carr-Pries
Dave Carr-Pries

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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