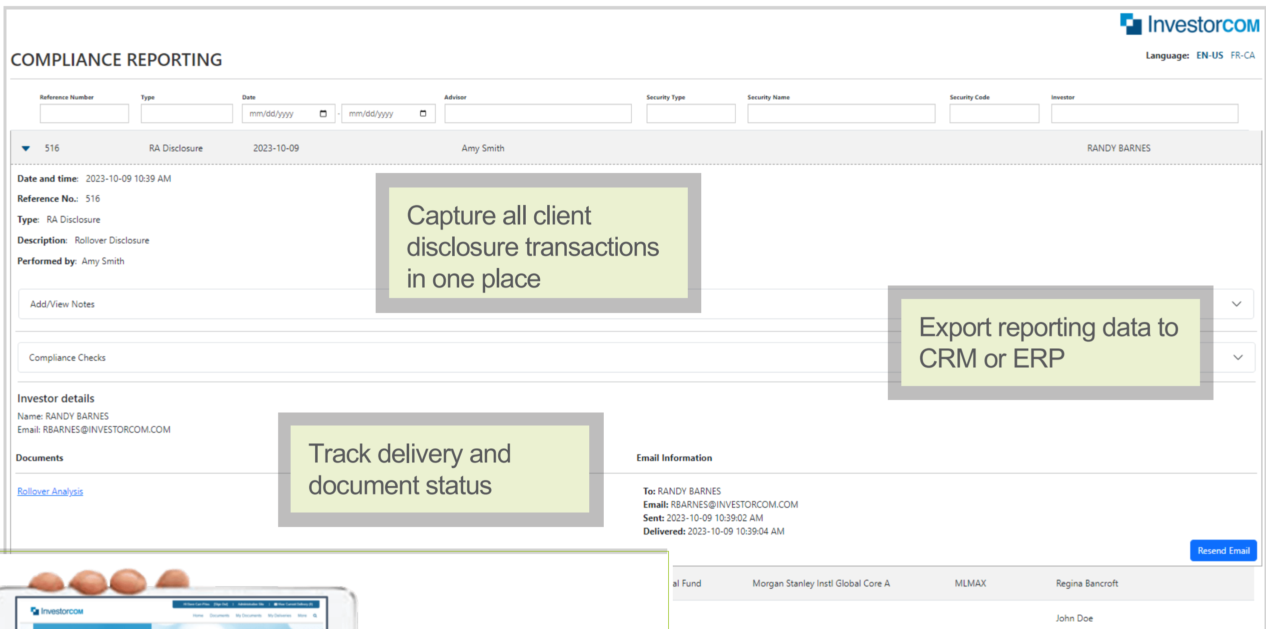
ComplianceExpress™

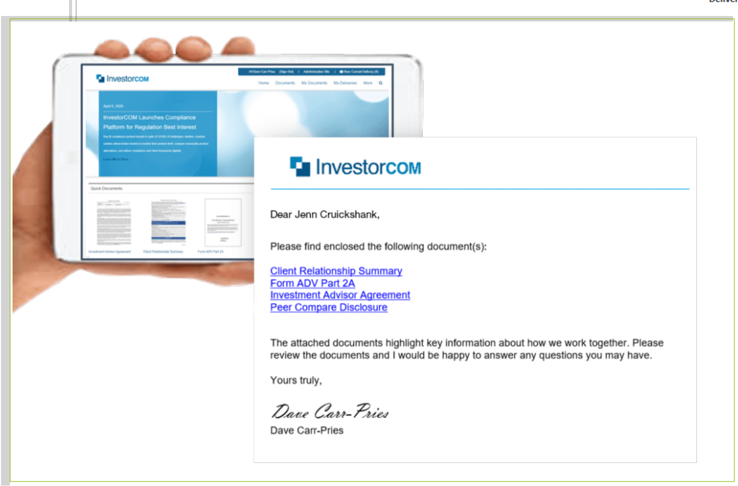
Simplify document disclosure and recordkeeping.

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.





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.

InvestorCOM

1.800.361.9494 | InvestorCOM.com

© 2023 InvestorCOM Inc. All rights reserved.