Wolters Kluwer
Financial Services

Examiner

Powering Personal Account Dealings Surveillance and Compliance

Automate your employee Personal Account Dealings compliance process with the industry's most powerful software solution.

Product Overview

A major concern for today's compliance officers is the difficulty of monitoring employees' personal trading activities in accordance with best practice and industry regulations. In addition, compliance departments must ensure that employees adhere to the many regulations governing the giving and receiving of gifts and entertainment.

Examiner, the industry's pioneering compliance solution, automates the surveillance process and enables your firm's compliance department to effectively monitor all aspects of Personal Account Dealings compliance. Examiner gives compliance departments an efficient process that reduces manual procedures, increases productivity, and mitigates regulatory and reputation risks.

Features & Benefits

Gifts & Entertainment Functionality

- Online Recordkeeping Reporting. The Compliance Department can keep track of monitor all gifts and entertainment received or provided by employees through Web-based employee disclosures.
- Approval Workflow. Examiner can will route employees' gifts and entertainment disclosures to either a compliance officer or another a manager for review on a pre-fact or post-fact basis
- Reporting Gift & Entertainment Tracking. The Compliance Department can run and distribute multiple gifts and entertainment reports to assist in aggregating information across the recipient's organization, the provider's organization, by departments, or by specific contacts.

User-Friendly Preclearance Interface

Employees can easily request permission to trade through our browser-based preclearance form. The system automatically tests the request against the firm's Personal Account Dealings rules. Examiner approves or denies requests in real time, or automatically directs requests to the Compliance Department for further review.

Supervisory Review Utility

Examiner's configurable workflow settings accommodate a firm's internal procedures in requiring reviews of employee trade preclearance by associated managers. As an added convenience, key managers also have the ability to maintain separate restricted lists applicable to specific employee groups.

Key Software Highlights:

- Monitor employee gifts and entertainment with online record-keeping, improved approval workflows, and efficient reporting.
- Monitor and track employee trading
- Import electronic confirms directly into the system
- Various standard and custom certifications available
- Easily integrates with any trade order management system for real-time testing
- Over 1,000 reporting combinations, which can be exported to Excel®, PDF, HTML, and other formats
- Allows for multi-tiered approval processing

Maintain Personal Account Dealings compliance in accordance with best practice and regulations.

Flexible and Real-Time Rules Testing

Built-in rules meet regulatory requirements, such as SEC Rule 17j and Rule 204A-1. You may create additional, custom rules to meet any unique requirements of your firm. You may also easily configure all rules to apply to specific employee groups, or to apply different settings or parameters for each group.

Automated Confirm and Holdings Processing

Examiner's automated import, reconciliation, and testing processes eliminate the tedious manual procedures typically associated with receiving, reviewing, and archiving trade confirms. Moreover, Examiner accepts a wide variety of electronic feeds and formats—eliminating any integration issues.

Initial, Quarterly, and Annual Certifications

Built-in, online certifications include holdings, transactions, brokerage accounts, and Personal Account Dealings. With Examiner's advanced Question/Answer capabilities, compliance managers can also configure custom, firm-specific certifications.

Automatic Memo Distribution

With Examiner's eMemo functionality, compliance managers can write and automatically distribute memos for various purposes (such as certification reminders) to employees. Managers can also use eMemo to easily send 407 letters manually or automatically when an employee enters a new brokerage account through iTrade.

Robust Reporting Capabilities

Examiner's comprehensive reporting capabilities allow compliance staff to view, filter, and sort all of the system's critical historical data and present it in suitable formats for internal or auditor review. In addition, analytic reports allow users to perform after-the-fact testing of the firm's rules and look for patterns of questionable behavior. All reports can be exported to Microsoft® Excel®, Adobe® PDF, and other commonly accepted formats. Compliance mangers can also schedule and generate specific report outputs using Examiner's Batch Report Scheduler feature.

Industry-Leading Technology

Available as either an ASP or enterprise hosted solution, Examiner is based on a standard Microsoft .NET architecture with SQL Server database. Examiner can receive data feeds from all major trading systems, portfolio accounting systems, and human resources databases—meaning easy integration into your firm's current system.

World-Class Service and Support

Our Client Services Team has successfully deployed Examiner in some of the country's most prominent investment firms. The Examiner Team provides hands-on support and comprehensive training both during and after implementation. Additionally, Examiner users can stay current on the latest product features and tips by attending our annual Examiner User Conference—a valuable opportunity to engage and exchange insights with fellow Examiner clients.

For more information on Examiner, please contact Dean Curtis at **0800 840 1160,** email **UKSales@wolterskluwer.com** or visit **www.wolterskluwerfs.co.uk**

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