



# Know Your Employee (KYE®)

## **A fully integrated Employee Compliance suite to monitor, identify and remedy conflicts of interest and code of conduct issues.**

Regulators worldwide have been placing increasing emphasis on the monitoring of employee conduct. Companies struggling to manage employee conduct and implement a culture of compliance will continue to face the risk of regulatory censure, financial loss and reputational damage.

MCO's Know Your Employee (KYE) solution enables firms to operationalize compliance policies and embed them into everyday processes, driving efficiency and oversight and helping to establish consistent, repeatable compliance. With KYE, firms can:

- Lower risks caused by having multiple systems and data silos
- Increase employee engagement with a simple and intuitive interface
- Optimize compliance programs and reduce manual tasks that consume valuable resources
- Do more with a robust core platform that is proven, scalable, and flexible
- Roll out global compliance policies more easily with multi-lingual, multi-currency capabilities

# One Platform with Many Solutions

## **Communications Compliance**

Reduce the risk of non-compliant communications with comprehensive eComms surveillance, analysis and archiving.

## **Connected Persons & Relationships**

Minimize risk from employee personal relationships by identifying and defining internal and external relationships that could lead to conflicts of interest and monitoring affiliations to commercial business entities or government bodies.

## **Gifts and Entertainment**

Enforce controls on employee gifts, meals, entertainment, travel and hospitality activities. Automate the capture and pre-clearance of gifts and entertainment given and incorporate automated rules for automatic approval, denial and escalation.

## **Outside Business Activities**

Automate the capture and management of employees' outside business activities, enabling the efficient identification, monitoring, and disposition of potential conflicts of interest.

## **Personal Trade Compliance**

Simplify the employee trade pre-clearance process with 100% trade capture capability and access. Automate the capture of trade confirmations from broker feeds and review employee trading activity against restricted lists, insider trading rules, front-running, tailgating and other conflict scenarios. Facilitate annual employee attestations and disclosures related to personal trading.

## **Political Contributions**

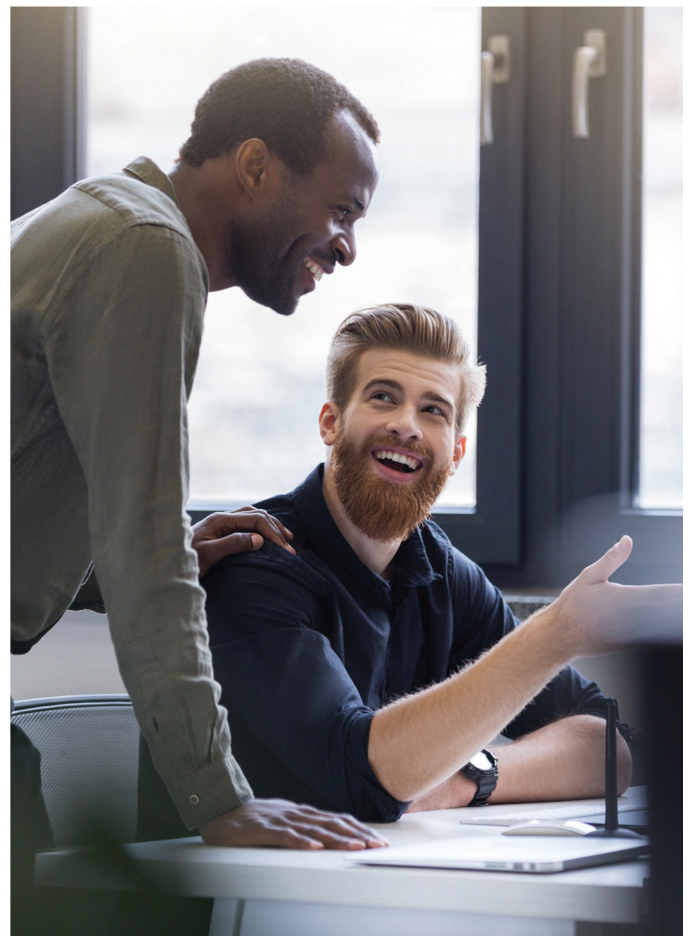
Automatically monitor employee political activities to ensure they do not exceed donation limits across different jurisdictions, lines of business, offices and user groups.

## **Representative Registrations and Licensing**

Easily manage the high volume of data associated with registrations, licensing and continuing education compliance while ensuring all requirements are current. Integrate with FINRA's CRD and CSA/CIRO's NRD systems to automatically update status and reconcile data.

## **Roles and Responsibilities Needs**

Stay compliant with role assurance regimes by monitoring changes to senior managers' roles and responsibilities, identifying, recording and reporting conduct rule breaches, managing annual certifications and assessments and generating reporting for regulators and senior management.





# Core System Functionality

Know Your Employee automates the components of a global employee compliance program on a single, integrated platform with a central database, enabling comprehensive monitoring, workflow-directed task management, real-time alerts to exceptions and sophisticated hierarchy management.

All KYE® modules leverage the powerful capabilities of the MyComplianceOffice platform, making it easier for both compliance administrators and employees to fulfill their obligations. Core functions used by all KYE modules can be personalized to meet the needs of individual compliance programs.

- Integrated data sets, including global company and security master of public and private companies
- Auto approval, denial or escalation of requests based on company policy and risk tolerances
- Attestation of policies and procedures, accounts, trades, holdings, outside business activities, etc.
- Maintenance of an Employee Compliance Profile
- Management of Employee Policies and Procedure documents
- Document Management including versioning
- Flexible Rules Engine to automate all relevant policies and procedures
- Issue Management
- Rules-based alerts flag breaches of key thresholds
- Configurable forms, questionnaires and workflows to aid automation of new policies
- Integration with relevant non-compliance systems: HR, expense, regulatory
- Single Sign-on for access to firm network without use of username and password
- Compliance Control Center (Dashboards, Analytics, Reporting) to view activity status
- Employee Risk Dashboard to view risk based on employee compliance activities



# Know Your Employee (KYE®)

Know Your Employee enables firms to comprehensively manage compliance and mitigate the risk of misconduct across multiple business areas with one fully integrated solution.

All KYE modules engage employees with intuitive desktop and mobile interfaces that enable them to fulfill their obligations with minimal effort, improving the timeliness of employee requests and compliance engagement.



## Integrated Compliance Management

Know Your Employee is part of the MyComplianceOffice integrated platform that automates compliance programs for supply chain and third-party operations (Know Your Third Party), transaction surveillance compliance (Know Your Transactions) and compliance oversight (Know Your Obligations). These interconnected suites with a centralized data center cost-effectively and comprehensively minimize the risk of misconduct and conflicts of interest while providing evidence of regulatory compliance.

With offices and support across the United States, Europe and Asia-Pacific, MCO helps firms of all sizes ensure compliance and meet evolving regulatory needs quickly and affordably. Contact us today to learn more.

**Contact MCO today** to find out how we can help your organization meet evolving regulatory needs and ensure compliance oversight quickly and affordably.

**MCO (MyComplianceOffice)® provides compliance management software that enables companies around the world to reduce their risk of misconduct and effectively oversee regulatory obligations.**

Our powerful platform lets compliance professionals demonstrate they are proactively managing the regulated activities of the company, employees and third-party vendors and provide evidence of regulatory compliance. Available as a unified suite or à la carte, our easy-to-use and extensible SaaS-based solutions get firms up and running quickly and cost-efficiently.

