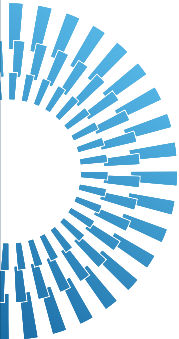




## Know Your Employee (KYE)

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

A partial view of the sunburst logo from the top left, showing the blue lines radiating from the center.

Regulators worldwide are 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 or reputational damage. It's not surprising that these companies turn to MCO, global employee compliance automation experts, to drive action that brings compliance policies to life.

At MCO, we recognize the need to operationalize compliance policies and embed them into everyday processes. Ease of compliance can ensure that employees adhere to existing policies such as personal trading, gifts and entertainment, outside business activities, political contributions etc. Our solutions drive extraordinary efficiency and oversight and help to establish consistent, repeatable compliance processes that ensure control.



## Many Solutions. One System.

Our Know Your Employee (KYE) suite was designed to automate all components of a global employee compliance program on a single, integrated platform with a central database. Available as a unified suite or à la carte, our easy-to-use and extensible SaaS-based solutions get companies up and running quickly and cost-efficiently.

All KYE modules leverage the powerful capabilities of the MyComplianceOffice platform which enables comprehensive monitoring, workflow-directed task management, real-time alerts to exceptions and a sophisticated hierarchy management.

The platform's rich task management capabilities provide visibility into the fulfillment status of compliance obligations to ensure that gaps are closed. Platform capabilities also include robust workflow management, automatic notifications and exception management, forms management, compliance disclosures and attestation management.

## Core System Functionality

The robust capabilities of the KYE suite make it easier for both Compliance administrators and employees to fulfill their obligations. Below are just some of the core functions used by all KYE modules to help companies personalize the program to meet their distinct needs.

- Auto approval, denial or escalation of requests based on company policy and risk tolerances
- Attestation management of policies and procedures, accounts, trades, holdings, OBIs 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

# KYE Modules

## **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.

## **Political Contributions**

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

## **Outside Business Activities**

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

## **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 to government bodies.

## **Communications Compliance**

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

## **Personal Trade Compliance**

With 100 % trade capture capability, simplify the employee trade pre-clearance process; automates the capture of trade confirms from brokerages; reviews employee trading activity against restricted lists, insider trading rules, front-running, tailgating and other conflict scenarios; and facilitates annual employee attestations and disclosures related to personal trading.

## **Authorizations, Registrations and Licensing**

Easily manage the high volume of data associated with authorizations, registrations and licensing compliance while ensuring all licensing and continuing education are up to date. Integrates with FINRA's CRD platform to automatically update status and reconcile data.

## **Role Monitoring and Accountability**

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.

All KYE modules engage employees with intuitive desktop and mobile interfaces that enable them to fulfill their obligations with a minimum of effort. The MyComplianceOffice mobile app is an intuitive and simple way for employees to comply with the organization's compliance policies. It improves the timeliness of employee requests and compliance engagement.



## Benefits of Implementing the Know Your Employee Suite

- Lower risks caused by having multiple, separate systems and data silos
- Increase employee engagement with simple, easy to use interface
- Optimize compliance programs and reduce manual tasks that take compliance 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



# Integrated Conduct Risk 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 Transaction) and compliance oversight (Know Your Risk). 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.

Contact MCO today to find out how we can help your organization ensure employee compliance controls quickly and affordably.

Spreadsheet-based tools and other internally-built solutions, once adequate for managing a discrete conflicts of interest category, will no longer do. Conflicts of interest have evolved into a complex compliance management issue for companies, large and small. KYE from MCO enables organizations to comprehensively manage code of conduct activities and mitigate misconduct risk across multiple business areas with one, fully integrated solution. In doing so, they better engage employees with a simple, intuitive interface, fulfilling compliance obligations with a minimum of effort.



## About MCO

**MyComplianceOffice (MCO) 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.