MCO
MyComplianceOffice

Compliance Built Better.

Integrated Compliance Management

Multiple systems bring multiple risks with little cohesion and much waste. The substantial investment of time and effort into legacy systems and manual processes creates a challenge—reduce costs while ensuring compliance efficacy under expanding regulatory expectations.

To address this challenge, we've built a better long-term compliance platform that fits the needs of firms of all sizes, delivering:

- **A single integrated solution** that checks for conflicts across systems and provides evidence of regulatory compliance
- **Centralized data** for ease-of-access, consistency and unparalleled risk control
- **An easy-to-use interface** to increase employee efficiency and adherence
- **A scalable modular approach** to meet the unique needs of every firm

With 1300+ clients in over 105 countries and employees around the world, MCO delivers affordable, easy-to-use compliance technology that helps highly regulated firms better monitor, identify and remedy conflicts of interest and code of conduct issues.

Know Your Compliance Risk

Know Your Employee *(KYE)*

Manage the firm's code of conduct activities and mitigate the risk of misconduct.

KYE provides compliance teams with an easy and affordable way to monitor, manage and ensure that employee policies are followed. Intuitive interfaces enable employees to fulfil their compliance obligations with a minimum of effort. KYE products seamlessly address the many areas of employee compliance:

- Personal Trading
- Gifts, Entertainment and Hospitality
- Outside Business Activities
- Forms and Attestations
- Political Contributions and Donations
- Authorizations, Registrations and Licensing
- Role Monitoring and Accountability
- Connected Persons & Relationships
- Communications Surveillance
- Communications Archiving

Know Your Transaction *(KYT)*

Protect your bottom line by managing transactional conflicts of interest.

The issue of conduct risk becomes especially sensitive when it originates from the core trading operations of the firm—the very place where your business, reputation, and bottom line are built.

KYT helps the Control Room and compliance team mitigate risk that can originate from breaches in market manipulation, insider trading, suitability, conflicts of interest, fund mandates and investment banking activities. Products include:

- Trade Surveillance
- Customer Suitability
- Deal & Engagement Review
- MNPI & Insider Information
- Enterprise Restriction

Know Your Third Parties *(KYTP)*

Oversee due diligence activities associated with third party relationships including vendors, customers, counterparties, agents and partners.

The supply chain is of increasing importance to regulators, making firms responsible for the activities of their third parties. KYTP enables firms to manage due diligence activities, including:

- Third-Party Approvals
- Initial and Ongoing Third-Party Data Management
- Third-Party On-Boarding Activities
- Ongoing Third-Party Due Diligence

MCO By the Numbers

1 Million Users

105+ Client Countries

1300+ Client Companies

100+ Million Rules Executed Annually

1.2+ Billion Records Processed Annually

Know Your Obligations *(KYO)*

Maximize the efficiency and effectiveness of the compliance oversight process.

KYO's oversight framework allows firms to assess compliance obligations and share requirements across the organization, implement policies and controls, monitor for adherence to policy, measure risk and easily provide proof of compliance. With KYO, firms gain a holistic and aggregate view of their risk profile that helps compliance teams set regulatory priorities, identify gaps in policies and procedures and streamline operations. Solutions include:

- Regulatory Change Management
- Policies and Procedure Management
- Compliance Risk Assessment
- Compliance Assurance

A Fully Integrated Technology Platform

Sitting at the heart of our Conduct Risk Suite is the powerful MyComplianceOffice Platform. Its capabilities enable comprehensive monitoring and reporting via personalized dashboards, workflow-directed task management, real-time alerts to exceptions, hierarchy management and integrated data sets, including global company and security master of public and private companies. A sophisticated rules engine is at the core, providing:

- Attestations and Certifications
- Configurable Forms and Questionnaires
- Compliance Calendar and Task Management
- Compliance Document Management
- Dynamic and Customizable Disclosures
- Policies and Procedures

Why Firms Choose Us

MCO helps companies, large and small, meet evolving regulatory needs and ensure compliance more easily. We have a proven track record of delivering technology solutions to firms across the globe and adapting our solutions to meet their unique business requirements.

Increase efficiency, accuracy and visibility with an updated and easy-to-use interface plus mobile capabilities allowing employees to simply complete required tasks—and freeing Compliance up to focus on more strategic issues.

Easily configure processes to meet the unique needs of your organization with flexible custom workflows and forms along with the most comprehensive questionnaire and trade capture options in the industry.

> *"We chose MCO because their solution is comprehensive and customizable, yet also easy-to-use and integrates with our technology systems. Its modular approach allows us to meet our existing employee conduct management needs and has the potential to help us manage risk across the entire organization in the future."*
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> *— CIO, Piper Jaffrey*

Save time and money with an automated system that allows you to manage your budget while reducing your risks. Using our SaaS platform can further reduce your costs by lowering the need for capital expenditure.

Meet your compliance needs now and in the future via a scalable, modular and customizable solution designed to easily adapt to external regulatory changes and the unique requirements of your organization, and that can grow with you as your business does.

Rollout on time and within budget with an expedient and user-friendly implementation. Our specialists will manage planning, integration, testing and training every step of the way.

Stay up and running with extensive global customer service including 24 x 7 tech support, 20 x 5 customer support and local language support.

Keep secure with state-of-the-art technology including a mature stack with inbuilt security features and a multi-tenant model enabling the provision of all security features in a secure, scalable environment.

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.

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