Integrated Compliance Management

Multiple systems bring multiple risks with little cohesion and much waste. Manual processes and legacy systems just add to the confusion. Firms of all sizes are faced with a challenge— reduce costs while ensuring compliance efficacy under expanding regulatory expectations.

MCO provides a comprehensive technology platform that enables firms to effectively manage their compliance risks and obligations, 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
- **Reduced cost and risk** for highly regulated firms

With 1500+ clients in over 125 countries and employees around the world, we help firms with even the most complex regulatory obligations gain more efficient and effective compliance management.

Know Your Employee (KYE®)

KYE offers a single platform with multiple solutions for compliance teams to monitor and manage employee adherence to policy with minimal effort. Its intuitive interface simplifies compliance management, reducing risks and costs while ensuring effective oversight. KYE products seamlessly address the core areas of employee compliance:

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

Know Your Transactions (KYT®)

KYT helps the Control Room and compliance team monitor conflicts of interest across the financial products sold by the firm. With KYT, firms can mitigate the risk that originates from breaches in managing MNPI, insider trading, suitability, conflicts of interest, fund mandates and investment banking activities. Products include:

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

Know Your Third Party® (KYTP®)

KYTP enables firms to centralize their third-party data in a single repository, gather pertinent data on third parties and conduct third party risk assessment and classification, ongoing due diligence and screening. With KYTP, compliance teams can manage third party due diligence activities, including:

- Third-Party Screening
- Third-Party Risk Assessment
- Third-Party Lifecycle Management

MCO By the Numbers

1+ Million	125+	1500+	100+ Million	1.2+ Billion
Users	Client Countries	Client Companies	Rules Executed Annually	Records Processed Annually

Know Your Obligations® (KYO)

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
- Conflicts Register
- Compliance Risk Assessment
- Policies and Procedure Management
- Compliance Assurance

A Fully Integrated Technology Platform

With a sophisticated rules engine and centralized data at its core, the powerful MyComplianceOffice platform enables 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, providing:

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

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 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."

— CIO, Piper Sandler

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.

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.