

# Products Overview



StarCompliance offers three products geared to meet the specific compliance needs of financial services firms of all types and sizes.

## PRODUCTS

- **Star IA** offers both preventive and detective controls to buy-side firms such as Investment Advisors and Investment Companies, including mutual funds, asset management firms, institutional money managers, and other registered companies as well as hedge funds and private equity firms.
- **Star BD** offers surveillance capabilities to broker/dealers, investment banks, insurance companies, and other sell-side firms.
- **Star IA/BD** is used by diversified financial institutions that are involved in both buy-side and sell-side activities, and governed by multiple regulatory bodies of the US and other countries.

## EDITIONS

Each of these products is available in three editions, *Express*, *Professional*, and *Enterprise*, built to address the requirements of firms of all sizes and geographic reach.

- *Express* is designed for firms with operations solely in one country and generally less than 200 employees.
- *Professional* is designed for firms with operations solely in one country and several hundred to tens of thousands of employees.
- *Enterprise* is designed for firms with a global presence and several hundred to tens of thousands of employees.

All products and editions share the following common features and functionality, and are built with the user experience top of mind.

- Surveillance Tools and Reports
- Rules
- Forms and Certifications
- Broker/Dealer Feeds
- Electronic Confirmation
- Case Management and Workflow Processing
- Pre-Clearance
- Forensic Testing Tools
- Gifts & Entertainment



# Buy-Side Solutions



Code of Ethics abuses. There are many opportunities for employees to run afoul of the rules and regulations governing financial services professionals. High-profile problems at a few firms have led to greater scrutiny from the SEC and other regulatory agencies. Charges of accepting personal gifts, front running and other violations have resulted in fines, and losses of reputation and billions of dollars of assets. These issues have led firms' clients and outside regulators to demand stronger risk and compliance controls and processes. Company Boards and senior executives now are looking to provide their institutions with software that will allow them to monitor and enforce these processes and procedures.

StarCompliance Software is the leader in providing focused compliance solutions for the buy-side. Our clients have more than \$8 trillion in assets under management. We count as clients some of the most respected firms in the US and EMEA. Our clients have found that StarCompliance's software increases client productivity, significantly lowers regulatory and reputation risk, and offers a long-term, sustainable solution, that can grow with their firm. Our Next Generation software helps our clients adhere to their fiduciary responsibility and creates a culture of compliance. StarCompliance software gives them peace of mind and frees them up to focus on the larger strategic issues of their enterprise.

Our buy-side solution, **Star IA**, is designed to meet the specific compliance needs of investment advisors and other buy-side firms. **Star IA** offers both preventive and detective controls for Investment Advisors and Investment Companies, including mutual funds, asset management firms, institutional money managers, and other companies that are regulated by the SEC, as well as hedge funds and private equity firms.

Built with the user experience in mind, **Star IA** includes the following features.

- **Surveillance Tools, Forensic Testing and Reporting.** Library of pre-defined and configurable conditions and rules to find, detect and report activities. Additional back testing and ad hoc analysis and report building.
- **Rules Engine.** Library of pre-defined rules that are configurable, as well as ad hoc rule creation, with preventive and detective controls.
- **Forms and Certifications.** Library of pre-defined electronic forms and workflows designed to meet regulatory requirements. Professional and Enterprise versions can create custom certifications and workflows.
- **Broker/Dealer Feeds.** Activity, account and position feeds from broker/dealers.
- **Firm Data Feeds.** Integrate research analyst recommendations, restricted lists, order management, trade execution, HR, T&E and other feeds with the rules engine to automate controls.
- **Case Management and Workflow Processing.** Configurable case manager, enabling easy and effective tracking of cases and discrete events.
- **Pre-Clearance.** Pre-clearance of trades, brokerage accounts, gifts, entertainment, outside business activity or any other requests are available and can be configured with the rules engine and workflow processing.
- **Alerts and Event Notification.** Be notified in real time of any event you want to track, using configurable email, SMS or pager alerts.
- **Gifts & Entertainment.** Report or pre-clear gifts, political donations, etc. These automatically test against the rules engine for gift value, number of gifts, gifting period, and donor/recipient. Every entry's workflow is configurable.
- **User Experience.** Built for convenient, easy operation, with personalized dashboards, lists and views. Designed for any user, from occasional up to highly active investors.

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## EDITIONS

Each of our products is available in three editions, *Express*, *Professional*, and *Enterprise*, built to address the requirements of firms of all sizes and geographic reach.

- *Express* is designed for firms with operations solely in one country and generally less than 100 employees.
- *Professional* is designed for firms with operations solely in one country and several hundred to tens of thousands of employees.
- *Enterprise* is designed for firms with a global presence and several hundred to tens of thousands of employees.



# Sell-Side Solutions



In the last few years, several high-profile cases of insider trading, gifts and entertainment, and other ethical violations have cost sell-side firms millions of dollars in fines and damaged reputations. A few high-profile cases have led to greater scrutiny from regulatory agencies, leading company Boards, senior executives and others to demand solutions.

The result? Compliance professionals at sell-side firms are under increasing internal and external pressure to deploy Best Practices solutions to prevent personal trading, gifts and entertainment and outside business activities abuses. Their workloads have grown as they have had to handle an increased information flow. Those with manual processes are seeking automation, while many of those with older or proprietary software solutions want more robust and scalable alternatives to meet current and future needs. They want a trusted alternative that will help them effectively deal with changing regulatory rules.

StarCompliance has the solution. Our Star BD software provides full surveillance capabilities, meeting the specific needs of sell-side firms such as broker/dealers and other companies regulated by the FINRA. Star BD increases client productivity, significantly lowers regulatory and reputation risk, and offers a long-term, sustainable solution, that can grow with their firm. Star BD offers peace of mind, while allowing compliance professionals to focus on the larger strategic issues of their enterprise.

Built with the user experience in mind, Star BD offers the following features.

- **Surveillance Tools, Forensic Testing and Reporting.** Library of pre-defined and configurable conditions and rules to find, detect and report activities. Additional back testing and ad hoc analysis and report building.
- **Rules Engine.** Library of pre-defined rules that are configurable, as well as ad hoc rule creation, with preventive and detective controls.
- **Forms and Certifications.** Library of pre-defined electronic forms and workflows designed to meet regulatory requirements. Professional and Enterprise versions can create custom certifications and workflows.
- **Broker/Dealer Feeds.** Activity, account and position feeds from broker/dealers.
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# Diversified Financial Solutions



In today's highly connected world, an ethical violation by an employee in one business line can quickly escalate into a major news event and company crisis, with enormous reputational and financial consequences.

To prevent these situations, diversified financial institutions that are involved in many lines of business have increasingly begun to employ Best Practices solutions to prevent employee conflicts of interest abuses by their employees involving personal trading, gifts and entertainment, outside business activities and other issues. The stakes are simply too high to be complacent, and the regulators and clients are demanding the best compliance and risk controls.

StarCompliance Software recognizes that diversified financial institutions have unique Compliance requirements, including dealing with several regulatory bodies, and the need for walls between a company's different legal entities.

**Star IA/BD** was built to handle these issues. **Star IA/BD** is a powerful enterprise application that is used by diversified financial institutions that are involved in both buy-side and sell-side activities, and governed by several regulatory bodies. **Star IA/BD** is more efficient and cost-effective than other alternatives as it can be deployed centrally rather than hosted in multiple locations by individual business lines. **Star IA/BD** features tools created to address the unique needs of each company, while providing secure walls between business lines.

**Star IA/BD** includes the following features, and was built with the user experience top of mind.

- **Surveillance Tools, Forensic Testing and Reporting.** Library of pre-defined and configurable conditions and rules to find, detect and report activities. Additional back testing and ad hoc analysis and report building.
- **Rules Engine.** Library of pre-defined rules that are configurable, as well as ad hoc rule creation, with preventive and detective controls.
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