Personal Account Dealing

Streamlined Compliance Through Automated Onboarding, Reporting, and Reminders.

Do you struggle to efficiently collect and manage mandatory compliance information from employees, including transaction reporting and policy acceptance? Our solution automates these processes, reducing the compliance team's workload and ensuring timely and accurate data collection. By streamlining onboarding, notifications, and reminders, we help maintain compliance and save significant time and effort.

Your Challenge

Financial Institutions struggle with the time-consuming and error-prone task of manually collecting and managing compliance-related information from employees. This includes ensuring timely transaction reporting, policy acceptance, and adherence to internal codes of conduct.

Our Offer

Collection of Mandatory Information

Personal Account Dealing (PAD) is an application integrated with SICAM, designed to streamline the compliance team's processes for collecting and archiving mandatory information, and helps in the following areas:

- **Employee Declarations:** It collects declarations from employees confirming receipt and acceptance of the Internal Code of Conduct and other internal policies such as GDPR.
- **Financial Market Transactions:** It records financial market transactions carried out by employees that are subject to reporting requirements.
- **Linked Individuals and Transactions:** It tracks transactions of individuals linked to employees, ensuring compliance with reporting obligations.

This integration aims to save significant time for the compliance team by automating the collection and archiving of essential compliance-related information.

Permission Request Channel

Personal Account Dealing is also a permission request channel for all employees requiring prior approval from their manager and/or the compliance team in the areas of:

- **Financial Market Transactions:** Employees can request permission to carry out financial market transactions with entities outside the bank/broker.
- **Trading Specific Instruments:** Requests can be made for permission to trade specific financial instruments.
- **Transactions Outside Designated Time Windows:** Employees may seek approval to conduct transactions outside the designated time windows for certain instruments.
- **Engaging in External Business Activities:** Employees can request permission to engage in business activities outside the bank/broker.

Features

- **Automated Onboarding:** Employees will be automatically created in the application using an Excel file containing their details. Emails will be sent to initiate the account activation process.

- **Automated Email Notifications for Transaction Reporting:** The application will send emails to individuals required to declare their transactions and those pending acceptance of the internal code of conduct. Employees can use the link in the email to access the application, accept the internal code of conduct (RIC), report linked persons, and declare their transactions.

- **Automated Trade Collection:** Transactions conducted by employees and their linked persons through the entity's broker will be automatically recorded, eliminating the need for employees to report them.

- **Automated Reminders:** Reminders can be sent to employees who have not accepted the Internal Code of Conduct or reported transactions for monthly declarations, saving the compliance team time from chasing delayed employees.

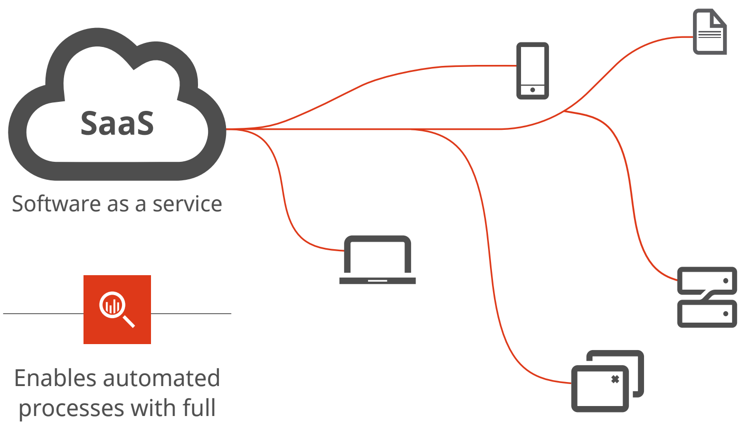
- **Breach of Terms Alerts:** Alerts can be generated if employees breach the internal rule of conduct by trading certain instruments without prior approval or outside stipulated trading windows or limits.

- **Report Generation:** Reports can be generated by employee and a summary of employees pending acceptance of the Internal Code of Conduct and transaction declarations.

Key Benefits

- ☆ Automation: make your compliance team more productive by leveraging PAD automation.
- ☆ Control: increased control and traceability over manual data collection.
- ☆ Cost mitigation: the SaaS solution allows no infrastructure cost on your side and the market data is included.
- ☆ Security: the web access is secured with 2FA security and the sensitive data encrypted.
- ☆ User experience: tailored to your needs, you may customize your analysis, your tools, your metrics or build your own ones in a user-friendly environment.

No infrastructure or any other kind of hidden cost



Web based access with 2FA security

Encrypted sensitive information within SIX data centre

Enables automated processes with full traceability

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