Compliance Control Room

Compliance Control Room streamlines vital workflows among employees, business and compliance improving efficiency and simplifying workflows to more easily monitor market abuse risks—all from a single, centralized platform.

Key Benefits

- → Oversee and monitor enterprise conflicts and MNPI.
- → Centralize conflict and MNPI data in a single solution.
- → Reduce market abuse and reputational risk from an integrated, flexible platform.
- → Detailed audit and management level reporting.

Enterprise Conflict Checking

- Surface potential conflicts quickly across deals, employees, and related parties.
- Access key information throughout the deal life-cycle.
- Document and monitor wall-crossing and market sounding requests and approvals.
- Simplify process for reporting MNPI via employee portal.

Centralized List Management

- Maintain and update Global Watch and/or Restricted Lists from one system.
- Restrict companies and securities, supported by a robust security master and legal entity database.

Insider List Management

- Create and maintain lists of individuals by deal or project who are aware of, or have access to, related MNPI.
- Comply with Market Abuse Regulations.

Single, Integrated Solution

- Integrate with key systems and data like Salesforce, Deal Cloud, Aladdin, CharlesRiver and more, to extend your view and conflict checks.
- Save time and effort with streamlined workflows by automating repetitive tasks.

Increase Audit Readiness

- Maintain a detailed audit trail for every creation, change, or deletion event at any point in the deal lifecycle.

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