

Simply Office 365 Employee Compliance



Makes compliance and the firm's current policies / procedures accessible to all staff, enabling them to sign declarations and to view and submit disclosures, benefits and personal trading.

Compliance engagement and culture

The Compliance Hub's **Employee Compliance** module connects all staff to the central Compliance function by providing them with a comprehensive set of tools to manage their own individual obligations. It improves compliance oversight for the firm as a whole and, by engaging staff, it encourages development of a true compliance culture.

Features



Policy & Procedure Library

Access for all employees to a version controlled policy and procedure library which contains the current published versions of your compliance documents.



Employee Declarations

When used in conjunction with the Hub's Policies & Declarations service, the Employee Compliance module enables employees to view and electronically sign policy attestations and other declarations that are assigned to them.



Benefit Approvals

Allow employees to declare and submit benefits received or given, such as gifts or hospitality requests, for approval and to automatically build the registers needed to evidence compliance.



Personal Disclosures

Employees are able to record for compliance any conflicts of interest and other important personal disclosures.



Personal Account Dealing

Workflow based PA dealing capabilities, enabling employees to submit trades for pre-authorisation and to review their past and current personal dealing activity.



The **Compliance Hub** brings everything you need to manage your compliance into one place. All of your registers, calendars and activities, with connected compliance intranet services available for all your staff.

