

Simply Office 365 Financial Promotions



Designed for compliance and marketing teams, a secure solution to support the evidencing of Financial Promotions material, with configurable workflow and approvals between departments and individuals.

Purpose built and designed for the job

Regulated firms need to ensure that their marketing material or any content they produce that could be interpreted as advice is clear, fair and does not mislead.

To achieve this, they need robust compliance review processes for their marketing materials, so they can capture the details of the review, including comments and changes, and can evidence and audit the process historically. The Financial Promotions module is designed specifically to do this and supports the entire process, end to end.

Review, approval, tracking and evidence

The Compliance **Hub's Client Due Diligence** module is designed to deliver robust controls and secure record keeping for your CDD process, so you are always on top of your obligations and know you always have golden copy client information stored safely and securely.

It can be implemented stand-alone or can be integrated with other Hub modules to provide extended client management capabilities. Use with the Compliance Officer Room and Employee Compliance for a complete compliance solution for your firm, on a single integrated platform.



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.

Features



Easy Submission

Supports all document formats, including Word, PDF, images, videos, etc. and allows the submission of any number and type of document as part of a single review request.



Centralised Workflows

Centrally record and manage all financial promotions review activity and streamline the review process with automated workflows and alerts.



Robust Evidence & Audit Trails

Easily view any review request, including the version history for each document, showing who submitted the request, reviewer's comments, and who made them and when.



Status Tracking

For each document the system will track the status of the review process, including comments made by the reviewer and any changes made to the document as a result.



Filing & Monitoring

All approved requests are automatically filed and retained in a central literature library simplifying your compliance monitoring – the library is the record of evidence for every review, containing the documents, their revision history and all approver comments.



Golden Copy

Automatic population and management of a central approved literature library providing employees with a single golden source of approved literature.



Email Alerts

Automated email alerts when new documents are submitted for review or reviewer comments are made.



External Access

If you work with external Compliance Consultants who review and approve your content then Financial Promotions can be configured to allow them controlled access to your information.