

 **NRS TECHNOLOGY**

ComplianceMAX™



Take control of your toughest compliance challenges

ComplianceMAX helps reduce costs, eliminate inefficiency and minimize potential risk.

For busy broker-dealers, investment advisers and financial service firms, meeting regulatory challenges head-on has never been more critical. In addition to a rapidly-changing regulatory environment, internally driven initiatives and increased compliance demands can impact your entire organization. Operating with disparate and fragmented systems can be a resource-intensive and error-prone process.

- You need a technology solution that helps streamline compliance practices, automate workflow and better manage risk for your organization. NRS's ComplianceMAX is an application composed of fully-integrated modules that brings convenience, confidence and cost savings to your compliance program.

Reduce Cost and Save Time

- Consolidate disparate programs
- Manage all Registered Rep and Adviser data from a central location
- Automatically route information and compliance tasks

Increase Efficiency

- Manage risk
- Eliminate manual, error-prone processes
- Enforce best practices across your firm
- Track, report and archive all compliance activities

ComplianceMAX technology is relied on by over 110,000 users and is backed by the depth and breadth of NRS's compliance expertise.



Automate your workflow and gain a 360° view of your entire compliance program

ComplianceMAX gives you a comprehensive view of your firm's compliance activities.

No matter what the challenge, ComplianceMAX helps integrate compliance into your firm's overall business model and daily activities by providing the tools your firm needs to work smarter, faster and with lower costs. ComplianceMAX offers:

- **Supervisory control** through configurable business rules and workflow tailored to your firm's business process and organizational structure
- **Faster approval time** for audits and submissions with electronic submission, tracking, approval and filing
- **Reduced impact on your reps and advisors** through one, easy-to-use interface for multiple compliance activities and processes
- **Automated compliance processes** to reduce duplicate documents and task-intensive compliance efforts
- **A single, firm-wide platform** and database that eliminates disparate faxes, e-mails, spreadsheets, documents, and data and consolidates processes within one framework
- **Robust reporting capabilities** to help you to monitor, manage and measure compliance activities from initiation to completion
- **Secure and comprehensive books and records support** including complete time/date stamps, identifying information and retention of all data, including related documents and materials

“NRS's advanced product features, proactive bent in product design/growth and IT team's readily-available customer service has made them **a critical part of our program's success**. What makes NRS unique in this niche market is its technology is not 'standstill' but **constantly evolving and responsive** while addressing the firm's need for security, accessibility and stability.”

Cynthia P. Hubler
Director – Compliance
Lincoln Financial Network

Flexible and Cost Effective to Meet Your Firm's Business Needs

With ComplianceMAX, you license only the modules that you need – address your entire program or only your most pressing compliance challenges:

- **Compliance Questionnaires and Attestations**

Effectively manage the collection, analysis and reporting of Outside Business Activities, Personal Investment Accounts, Private Securities Transactions, Annual or Periodic Attestations and other information required by the SEC and FINRA.

- **Public Communications and Advertising Review**

Transform the intensively manual process of reviewing all communications and advertising materials including electronic and social networking sites into an automated process. Create complete audit trails documenting each submission, change process and approval.

- **Gift and Entertainment Management**

Manage the review process of Gifts and Gratuities, Business Entertainment, Non-Cash Compensation and Political Contributions adhering both to regulatory standards and internal policies.

- **Customer Complaints**

Consolidate and manage complaints against broker-dealers or banks' representatives in order to comply with regulatory requirements and subsequently report complaint and disclosure information to FINRA.

- **Firm Element, Insurance Training and Annual Compliance Meetings**

A complete catalog of Firm Element, Insurance CE training courses and Annual Compliance Meeting courses that cover a broad range of training topics.

- **Audit Technology**

Provides a suite of sophisticated tools to give you maximum control over the creation and design of your audits. You can build and deploy intelligent audit templates, preconfigured with regulatory guidelines, firm policies, custom questions and comments.

- **Custom Modules**

Need a module that replicates your firm's specific business processes, rules or compliance requirements? ComplianceMAX technology can be fully customized. Work with our team of developers to create a custom module for your firm.

To learn more visit

www.NRS-inc.com/ComplianceMAX

or call **1-860-435-0200**

About NRS

NRS delivers a three-sided approach to compliance—comprehensive education, best-in-class technology and expert consulting services. We understand the needs of compliance professionals, from the tools they use to the regulatory requirements their firms must meet. For industry newcomers and seasoned CCOs alike, no one has more ways to help you avoid risk and protect your firm's reputation than NRS.