

NASD / SEC COMPLIANCE AUTOMATION WITH COMPSYS



Automation with CompSys® has drastically improved our process efficiencies and reduced time, effort and costs. We regularly review our needs and upgrade CompSys with custom features and integrations performed by CenterSys. **Roger Cotta, CFO, Tocqueville Asset Management.**

CompSys® is the most sophisticated compliance automation solution in the market today. It automates all manual processes of the compliance departments in brokerages and prevents questionable trades from "falling through the cracks." The efficiency of the system lies in its capabilities to draw attention to events in a proactive fashion (via e-mails, PDA, and cell phone alerts). It cuts down monitoring time and efforts drastically while making the process "bulletproof."

All this in a web-based framework that is highly secure and yet easy to use and manage.



KEY FEATURES

- Fully automated data integration of cleared trades
- N-tier architecture with a browser as the only component required on end-user desktops
- Automatic reports (PDF) generation on the server
- Alerts sent to e-mail, PDA, or cell phone
- Reports sent at predetermined intervals to e-mail, PDA, or cell phone
- Automatic action item creation on flagged trades for follow-up and actions for closure
- Creation of custom stock lists to monitor
- 100% audit trail of all trades, accounts, stock lists, and compliance actions
- Easy configuration of the the Compliance Rules Engine
- All data entry & management interfaces with PDA extensions
- T+1 Ready, API's to integrate with trading systems, real-time approval mechanism
- Delivered as fully contained, pre-configured server(s) to be plugged into your network and ready to go. No additional cost of expensive OS and database licenses and other third-party software components
- Approved on Unix (HP, IBM), Solaris, Windows 2000-2003, and Linux

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Please contact Sales at CenterSys (sales@centersys.com) to arrange for a detailed tour and presentation of CompSys®. After the initial presentation & demonstration of the various features of the system, you may request a full featured hosted server setup of CompSys® for an extended evaluation.

