



Personal Account Dealing

Automate employee pre-clearance and conflict detection across multiple asset classes

StarCompliance Enterprise offers a user-friendly, streamlined experience to both monitored employees and compliance teams to make every workflow surrounding personal trades more efficient and effective. By automating once time-consuming, manual workflows, employees now receive replies to their requests within seconds, and compliance can focus on more critical tasks to further reduce risk and support company growth.

Configurable Rules Engine

StarCompliance Enterprise (STAR) is powered by a robust rules engine and configured to your organization's unique needs and policies. This leverages vast amounts of data like employee information, user group and line of business relationships, and marketplace data, to automate employee pre-clearance, surveillance, and other conflict checking workflows to streamline processes and increase efficiency.

Global Security Master and GICS

Pricing and reference data are available on more than 70 million global securities, including cryptocurrencies, mutual funds, ETFs, UITs, close-end funds and leveraged loans. StarCompliance Enterprise also offers GICS, one of the most popular industry/sector coding schemes used in business today. Using this data, compliance can configure more specific restrictions and trade reviews to inform rules engine decisions and mitigate trading risk.



Streamlined Compliance Workflows



Employee Pre-Clearance & Surveillance

Through the application or on the road from your mobile device, employees log into the STAR to submit their trade request, which can be submitted in their local currency. The rules engine provides instant approval or denial. In situations where a review is required, the appropriate compliance team members will be alerted.



Case Management

In situations where employee activity needs further investigation, cases can be created and managed within the STAR. All relevant information, data, evidence, and trade history is collated and saved in one place for audit purposes and easy reference.



Certification Management

Configure certifications based on user group, line of business, location, and more, and make it easy for employees to review and certify what is applicable to them. Schedule certifications ahead of time, set automated reminders and alerts based on due date, and give employees an easy way to flag inaccuracies and report new information, all from STAR.



The Rules Engine Process

Within seconds, the Rules Engine checks every pre-clearance request against the following information*:

- HR data like employee status, role, and department
- Employee hierarchy relationships
- Trade data like frequency, volume, and more
- Restricted lists, insider lists
- Blackout periods, holding periods

*not an exhaustive list

Trade Reconciliation



Electronic Broker Feeds

Star offers direct integration with the world's largest brokers via encrypted electronic broker feeds, making trade reconciliation automated and error-free. All feeds are monitored and maintained daily by a dedicated team and feed data is refreshed every twenty-four hours—making reconciliation weeks faster than traditional paper statement reconciliation processes. In cases where STAR finds an anomaly outside of the variance threshold between a precleared trade and the executed trade, the activity is automatically flagged for review and a case is created to support further investigation.



Statement Tracking

When electronic broker feeds aren't available, broker statements are the next best thing. Easily identify missing employee statements and trigger real-time in-app reminders for employees to action. Compliance can also request statements automatically with pre-set alerts that will trigger when the required submission period has passed. Employees can easily upload and submit statements in STAR and can upload statements from multiple brokers, providing one place for all statements to be housed and accessed as needed.

Reporting and Insights

StarCompliance Enterprise offers a robust reporting suite so compliance and business leaders can make informed, data-driven decisions. Compliance has access to over 100 standard report templates and can create their own table-based reports and generate visuals using the drag-and-drop chart builder. Reports can be shared with other team members and scheduled for distribution at user-defined time intervals.



About StarCompliance

StarCompliance is the world's leading provider of employee compliance technology solutions. Trusted for over 25 years by millions of users in 114 countries, StarCompliance Enterprise provides a user-friendly interface that delivers the data, technology, and actionable insights needed to proactively mitigate risk, monitor conflicts globally, and support complex whistleblowing regulations. Visit www.starcompliance.com to discover the comprehensive security and unparalleled assurance you need to build a culture of compliance today.



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