

COMPLIANCE

With IAS, It Means You'll Have LESS Worries!

ias

Interactive Advisory Software

CORRESPONDENCE

- Store Incoming ✓
- Store Outgoing ✓

E-MAILS

- Synch Incoming E-mails from Outlook and Store in IAS ✓
- Generate Outgoing E-mails and Store in Read Only Format; Create BCC to Compliance Officer ✓

PURCHASE/SALES BLOTTERS

- Maintain List of Trades by Period, by Rep, by Product ✓
- Filter Trades in Personal, Fee, Employee Accounts ✓
- Segregate Trades by Rep Number ✓
- Export Blotter to Note "Reviewed By" ✓

CLIENT FILES

- Store New Account Applications ✓
- Store Agreements with Client ✓
- Store Client Statements ✓

TRANSACTIONS, HOLDINGS, PRODUCT CROSS INDEX

- Show Confirm Matched to Trade ✓
- Produce Holdings Statements ✓
- Produce Cross Index ✓

CLIENT BILLING

- Store Fee Agreements ✓

RECORD RETENTION

- Archive Active and Closed Accounts ✓
- Capture Reason for Closed Accounts ✓

ANTI-MONEY LAUNDERING/PATRIOT ACT

- Record Driver's License Information ✓
- Store Picture of Clients for Visual Recognition ✓
- Assess Activity (i.e. Cash Received and Not Invested) ✓
- Create Records of Suspicious Activity by Account or Client ✓

SUITABILITY

- Capture Required Data for Client Profiling ✓
- Monitor Investment Objectives by Account Type ✓
- Monitor Suitability of Investments Based on Objective ✓

THIRD PARTY MONEY MANAGEMENT

- Segregate Third Party Managed Accounts ✓

CUSTODY

- Capture Discretionary Rules ✓
- Capture Where Assets Held ✓

ADVERTISING

- Provide Performance Calculations/Disclosures ✓

IAS: The only unified wealth management solution.

For more information please contact: sales@iassoftware.com • 1.800.821.7355