pinpoint
GLOBAL COMMUNICATIONS

Compliance Made Simple

ADVERTISING REVIEW

ADVISOR ACCOUNT REVIEW

ADV PART 2B BROCHURE

ANNUAL COMPLIANCE MEETING

ANNUAL COMPLIANCE INTERVIEW

BRANCH OFFICE EXAMS

CORRESPONDENCE LOGGING

DBA – DOING BUSINESS AS

DISCIPLINARY TRACKING

FIRM ELEMENT

GIFTS & ENTERTAINMENT

GOVERNMENT REGULATORY ALERTS

NAIC SUITABILITY & BEST INTEREST

OUTSIDE BUSINESS ACTIVITY

POLITICAL CONTRIBUTION & LOBBYING

REGULATION 187

REPLACEMENT TRANSACTION LOGGING

RISK PROFILE MODULE

SOCIAL MEDIA TRAINING

WRITTEN SUPERVISORY PROCEDURES

Pinpoint's Online Compliance System makes it easy to
DELIVER, MONITOR AND REPORT
on assigned compliance requirements.

"It's as simple as one mouse click for advisors and compliance personnel to review and take action on compliance requirements."

Pinpoint's SEC 17a-4 compliant systems provide the most comprehensive risk management and supervisory solution in the financial services industry.

Used by many of the largest firms, Pinpoint's compliance systems enable them to deliver, monitor and report on assigned compliance requirements of advisors and other registered individuals. The Pinpoint solution supports client-specific branding, customized online forms and workflows, detailed tracking and reporting and seamless integration into each client's infrastructure and supervisory hierarchy. Pinpoint's software as a service (SaaS) business model ensures system deployments and enhancements are always delivered reliably and on schedule.

All modules include

- ✔ SEC 17 (a)-4 Compliant
- ✔ Web CRD U4 Data Feeds
- ✔ Web CRD Form BR Feeds
- ✔ Online Fillable Forms
- ✔ Supervisory Workflow

- ✔ Detailed Audit Trail
- ✔ Summary Reports
- ✔ Recurring Reports
- ✔ User Transcripts
- ✔ Data Driven Dashboards

- ✔ API for Data Integration
- ✔ Single Sign-on Authentication
- ✔ Client Branded Website
- ✔ Off-line Functionality

Simplify your compliance process

Call 603-880-8130 or visit pinpointglobal.com