



ONLINE SOLUTIONS FOR ENTERPRISE

The Financial Service
Industry's most
efficient platform to
solve your compliance
problems

Pinpoint Global's online compliance modules are developed to deliver, monitor and report on assigned compliance requirements. Our award-winning ComplianceConnect™ technology platform increases communication between advisors and analysts, decreases the amount of time spent on compliance activities, and mitigates regulatory risk.

ComplianceConnect is custom-built specific to your needs and integrates with your current systems. With multi-level review options, real-time reporting and detailed auditing, it is the compliance solution for your enterprise or broker-dealer.

Our most popular ComplianceConnect modules

- ADVERTISING REVIEW
- ADV PART 2 BROCHURE
- ANNUAL ACCOUNT REVIEW
- ANNUAL COMPLIANCE MEETING
- ANNUAL COMPLIANCE QUESTIONNAIRE
- BRANCH OFFICE EXAMS
- CHECKS & SECURITIES BLOTTER
- DOING BUSINESS AS (DBA)
- DISCIPLINARY TRACKING
- FIRM ELEMENT
- GIFTS & ENTERTAINMENT
- NAIC SUITABILITY & BEST INTEREST
- OUTSIDE BUSINESS ACTIVITY (OBA)
- POLITICAL CONTRIBUTION & LOBBYING
- REGULATION 187
- REPLACEMENT TRANSACTION LOGGING
- WRITTEN SUPERVISORY PROCEDURES
- YOUR SPECIFIC SOLUTION



ComplianceConnect™ simplifies never-ending data collecting, reporting and storage.

Get decision-ready data and Gold Record storage with the most comprehensive risk management and supervisory solution in the financial services industry.

Gifts and Entertainment Details

Date of Event / Gift:
NOTE: If the event spans more than one day then submit the first date of the event

Is This Submission For You? ☐ Yes ☐ No

Person Submitted For:
NOTE: Person submitted for must be selected from search results

Submission Type:

Type of Gift:

Attachments:

To upload an attachment, click Upload File (s) to select the file to upload. The files will be uploaded when either the Submit or Save button at the end of this form are clicked.

Permissible file types that can be uploaded are: ppt, xls, doc, jpg, pdf, zip, tif, txt, doc, ppt, png, and gif. File extensions that are not included in this list are not supported by the system and cannot be uploaded.
Note: There is a 10MB limit per document.

Gift Given / Giving Details

Name of Gift Recipient:

Ability to check audit history and comments

Visually track status on applicable modules

Submitter → Supervisor Review → Ad Review Analyst Review → SML Review → Complete

Used by the largest financial services firms, Pinpoint Global's ComplianceConnect makes it easy to deliver, monitor and report on assigned compliance requirements of advisors and other registered individuals. Branded for you, your online forms and workflows are customized with detailed tracking and reporting seamlessly integrated into your infrastructure and supervisory hierarchy.

ComplianceConnect for enterprise is an efficient way to streamline and grow with changing regulatory and risk landscapes.

Schedule your full demo of what ComplianceConnect can do for your enterprise needs.

All modules include

- ✓ SEC 17 (a)-4 Gold Standard
- ✓ Web CRD U4 Data Feeds
- ✓ Web CRD Form BR Feeds
- ✓ Online Fillable Forms
- ✓ Customized Supervisory Workflow
- ✓ Detailed Audit Trail
- ✓ Summary Reports
- ✓ Recurring Reports
- ✓ User Transcripts
- ✓ Easy to use Reporting
- ✓ API for Data Integration
- ✓ Single Sign-on Authentication
- ✓ Client Branded Website
- ✓ Off-line Functionality
- ✓ Exceptional Customer Service

