



complysci

COMPLYSCI MANUAL
GUIDE FOR EMPLOYEES



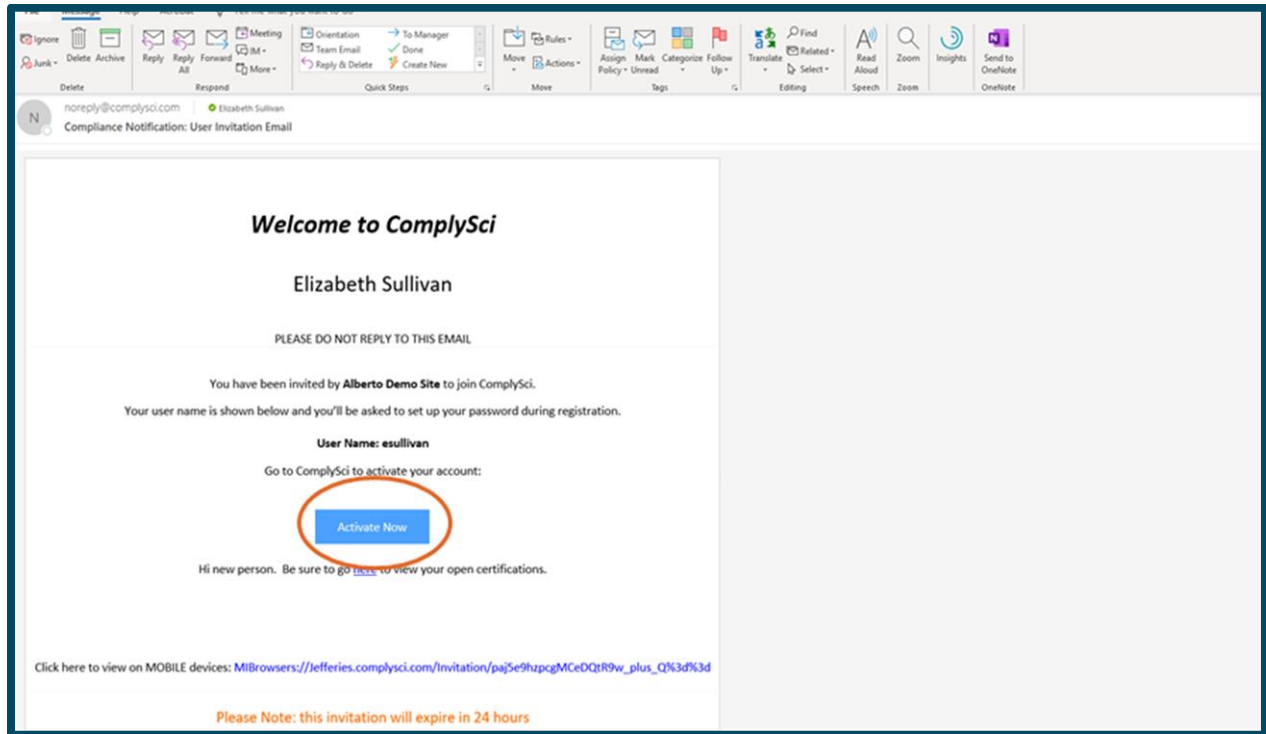
Table of Contents

Getting Set Up	3
Activate Account.....	3
Create Password.....	4
Complete Account Registration	4
Your ComplySci Dashboard	5
Navigation Menu.....	5
User Settings.....	5
Submit Requests and Disclosures	6
Compliance Requirements and History	6
Certifications	7
Identifying Outstanding Certifications	7
Completing Certifications	8
Data Records	8
How to Self-Report.....	8
Add Account.....	9
Review or Edit.....	10
Preclearance Requests	11
How to Submit a Request	11
Submit a Trade Request	12
Disclose Approved Preclearance Trade Requests	13
Reset Password	14

Getting Set Up

Activate Account

To active your ComplySci account, open your *Welcome to ComplySci* email and click on the **Activate Account** button.

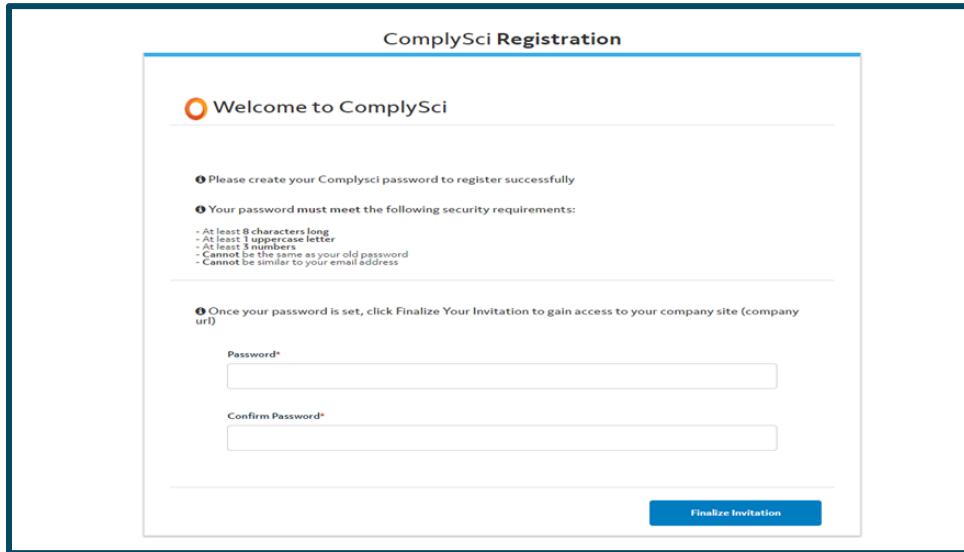


Until your ComplySci account registration is complete, you will receive a new registration email from ComplySci daily. Please use to most recent invitation to activate your account as each email invitation link expires after 24 hours. If you do not see your Invite email in your inbox, be sure to check your junk folders.

For subsequent access to ComplySci, go directly to your login URL, as noted below. Do not click on your Activation/Welcome email as it is a one-time registration email. For quick access to the site, be sure to Favorite your login URL in your web browser.

Create Password

In the webpage that opens after clicking **Activate Now**, enter the username that was contained in your *Welcome to ComplySci* email. Then, create and confirm a password and click **Finalize Invitation**.



The screenshot shows the 'ComplySci Registration' page. It features a 'Welcome to ComplySci' header with the logo. Below the header, there are three main instructions:

- 1. Please create your Complysci password to register successfully
- 2. Your password must meet the following security requirements:
 - At least 8 characters long
 - At least 1 uppercase letter
 - At least 3 numbers
 - Cannot be the same as your old password
 - Cannot be similar to your email address
- 3. Once your password is set, click Finalize Your Invitation to gain access to your company site (company url)

Below these instructions are two input fields: 'Password*' and 'Confirm Password*'. At the bottom right of the form is a blue button labeled 'Finalize Invitation'.

Please ensure that your new password meets the system requirements:

- 8 characters minimum
- 1 uppercase letter
- 3 Numbers
- Cannot be the same as your old password
- Cannot be similar to email address

Complete Account Registration

Once in ComplySci, review and accept the Terms of Use, then enter details for your User Profile. Once the details are up to date, click **Finish Registration**.

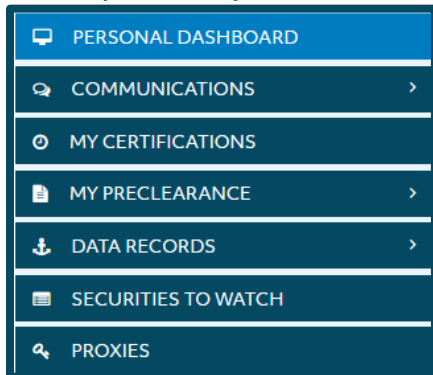
Note: After you accept the Terms of Use, subsequent logins will navigate directly to your ComplySci dashboard.

Your ComplySci Dashboard

Navigation Menu

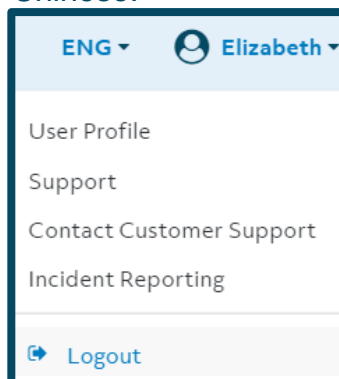
The left side of your dashboard houses your navigation menu.

- **Personal Dashboard:** Your ComplySci homepage which will provide quick access to certifications, preclearance requests & History, as well as communication items.
- **Communications:** Review any open, in-progress, or archived between you and Compliance
- **My Certifications:** View the status of all your historical certifications, including those that have yet to be completed
- **My Preclearance:** Access previously submitted preclearance requests to see their statuses or submit new preclearance requests
- **Data Records:** View your disclosed information including accounts, transactions, holdings, documentation, and other contributions or affiliations.
- **Securities to Watch:** If your compliance team chooses to share securities that are on a restricted list, you can check them here before submitting a new trade request.
- **Proxies:** If you have been assigned as a proxy to submit preclearance requests or data records on behalf of another employee, or would like to assign a proxy for yourself, you can review and submit that information here



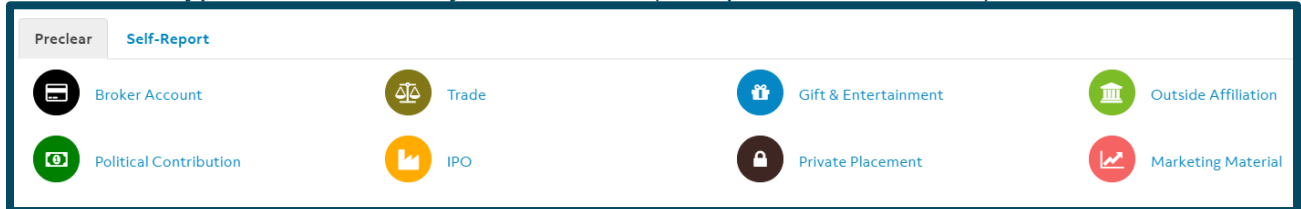
User Settings

Click on your name in the upper right side of the screen to access/update your account profile, access support files, report an incident. To the left of your name, you can click on the three letters designating your current language to update language settings. ComplySci can be translated to English, French, German, Japanese and Simplified Chinese.

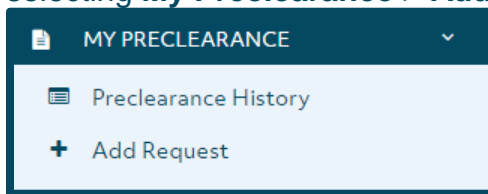


Submit Requests and Disclosures

The top portion of your Personal Dashboard is dedicated to submitting preclearance requests and disclosing information. The Preclear/Self-report toggle enables you to select what type of submission you will make (a request or disclosure).



You can also submit a preclearance request using your left-hand navigation menu and selecting **My Preclearance > Add Request**.



Compliance Requirements and History

The bottom portion of your Personal Dashboard is dedicated to quick access to relevant compliance requirements or recent history.

Certifications

This section will list out any open Certifications. You can easily understand whether there are Certifications you have yet to complete. Click **View All** to view all Certifications, not just those that are outstanding or open.

Status	Name	Due Date
●	2019 Certification - 2019 Employee Code of Ethics	12/11/2019

Preclearance Requests

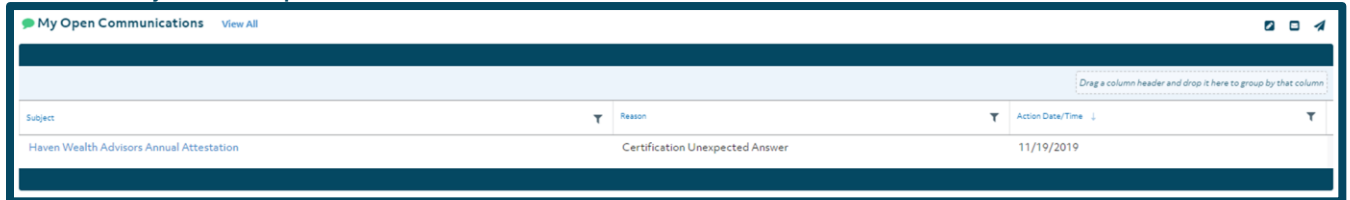
View the status of recent requests to determine whether they were approved, denied, or still pending. Click **View All** to access all preclearance request history.

Status	Details	Category	Request Date/Time
Allowed	Buy 10.00 SPDR S&P 500 ETF Trust	Trade Request	10/15/2019 10:14 AM
Allowed	Buy 25.00 FedEx Corp	Trade Request	10/15/2019 03:24 PM
Allowed	Buy 2.00 Bed Bath & Beyond Inc	Trade Request	11/26/2019 12:56 PM



My Open Communications

Sort, view and open any open communication items. The right side of this section enables you to sort communication items by those that require review, those that have been received, or those that you have sent. Click **View All** to access all communication items, not just the open ones.



Subject	Reason	Action Date/Time
Haven Wealth Advisors Annual Attestation	Certification Unexpected Answer	11/19/2019

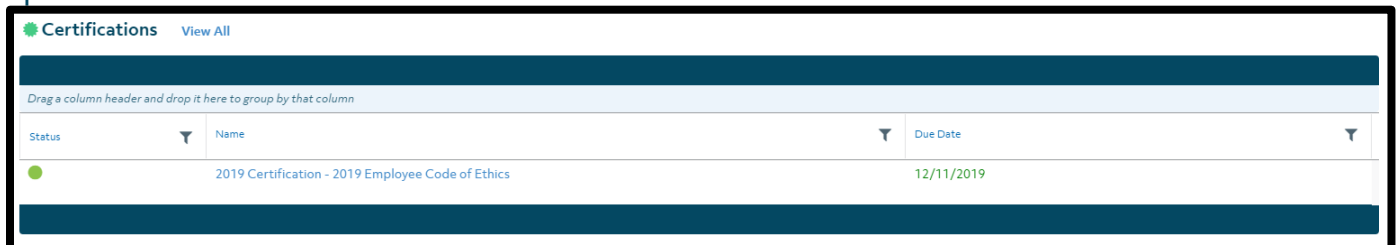
Certifications

Identifying Outstanding Certifications

ComplySci makes it easy to identify whether you have outstanding certifications to complete, both on your Personal Dashboard and In your Left hand navigation menu.

From Dashboard

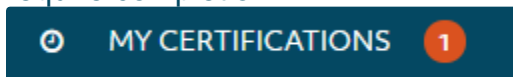
If you have Certifications to complete, they will appear in the Certifications section of your Dashboard, with their status and Due Date. Certifications with a red status and due date are past due, and Certifications with a yellow or green status and due date are open.



Status	Name	Due Date
●	2019 Certification - 2019 Employee Code of Ethics	12/11/2019

From Navigation Menu

Outstanding Certifications will cause a red circle and number to appear next to My Certifications in your Navigation Menu. The number will identify how many Certifications require completion.



Completing Certifications

Click on the Name of any outstanding certification to open it. Read all instructions, answer required questions, review data, and click **Certify**.

Back Save

Certification: 2019 Certification - 2019 Employee Code of Ethics
Employee: Elizabeth Sullivan
Certification Period: November 26, 2018 - November 25, 2019
Certification Due Date: December 11, 2019
Status: Not Completed

Instructions

Please read the attached Code of Ethics handbook. Once completed, please confirm that you have read the handbook and agree to follow the conduct expectations.

[View Communications](#) (+ Add New Communication)

Certification Document (View Only)

2019 Code of Ethics.p... 17 kB

Attachment

DRAG AND DROP A FILE HERE TO UPLOAD OR CLICK TO SELECT FILES

[+ Add from my CSI Doc Repository](#)

CERTIFY

Please click "Certify" only once, as some certifications may take longer to process

If the certification includes data records to review, and some of the data is incorrect, click edit to the left of the data record to update the information, or click **Back** at the top of the certification page, update the information from within ComplySci and return to the Certification at another time.

Data Records

How to Self-Report From Dashboard

If you have information to report (accounts, transactions, holdings, affiliations, etc.), select **Self Report** from the Preclear/Self-Report toggle on the top of your Personal Dashboard. Then select the type of Data Record you will be disclosing.

Preclear **Self-Report**

Add Accounts Add Holdings Add Transactions Add Gift & Entertainment

Add Outside Affiliation Add Political Contribution Add Private Transaction

From Navigation Menu

You can also submit data records by clicking on **Data Records** in your left-hand navigation menu and selecting the relevant type of information you will share. On the page for that data item, click **+Add** from the top right side of the screen.

Add Account

If you would like to add a new account (i.e. Trading Account or 401k), click **Add Account** from the Self-Report Toggle on your Personal Dashboard or **from Data Records > Accounts** in your left navigation menu.

Username	Employee	Employee Status	Broker/Custodian	Account #	Account Holder	Account Type	First Broker Report Date	Last Broker Re
esullivan	Elizabeth Sullivan	Registered	Wells Fargo	54245633	Elizabeth Sullivan	401k		
esullivan	Elizabeth Sullivan	Registered	JP Morgan	5362271	John Doe	Trading		
esullivan	Elizabeth Sullivan	Registered	TD Ameritrade	836256356	Elizabeth Sullivan	Trading		

You will be asked to fill in details for the account on the Add Account page. At minimum, complete all required fields (denoted with a red asterisks *), share any additional details, upload supporting documentation as needed, and click **Add**.

Review or Edit

To review or edit existing data records, click **Data Records** from your left-hand navigation menu and select the type of item you wish to review/update (i.e. Accounts).

Then, click on the particular record you would like to review. For example, for accounts, Select the account number for the account of interest from the Accounts Page.

Accounts ★

Apply Filters Clear Filters + Add

Drag a column header and drop it here to group by that column

Username	Employee	Employee Status	Broker/Custodian	Account #	Account Holder	Account Type	First Broker Report Date	Last Broker Re
esullivan	Elizabeth Sullivan	Registered	Wells Fargo	54245633	Elizabeth Sullivan	401k		
esullivan	Elizabeth Sullivan	Registered	JP Morgan	5302277	John Doe	Trading		
esullivan	Elizabeth Sullivan	Registered	TD Ameritrade	836256356	Elizabeth Sullivan	Trading		

100 items per page 1 - 3 of 3 items

If you need to edit the details, select **Edit** from the top right corner of the details page for the specific data record. When editing a data record, you can use the Attachment widget to add/pull any supporting documents.

Account # 54245633

Account Name (Nickname/Description) Wells Fargo 401K

Account Holder Elizabeth Sullivan

Broker/Custodian Wells Fargo

Entry Type Manual

Certified

Account Status New

Date Entered 11/15/2019 12:02:00 PM

Notes

Employee Elizabeth Sullivan

Relationship Self

Account Type 401k

Compliance Status Approved

Preclear Exempt * If selected, no preclear rules will be applied to account's holdings or transactions.

Managed Account * Exempt (Accounts/Holdings/Transactions) are not obligated to preclear based on company policy. * If selected, no preclear rules will be applied to account's holdings or transactions.

Cert Exempt * If selected, All holdings and transactions under this account (existing and future) will be excluded from certification process.

Paper Statement Required * If selected, this account requires paper statements.

Created By Elizabeth Sullivan

Date Opened 11/15/2019

Last Updated Date 11/15/2019 12:02:05 PM

Last Updated By Elizabeth Sullivan

First Broker Report Date Not Feeding

Last Broker Report Date Not Feeding

Date Closed

Last Date of Attachment

% Attachment

DRAG AND DROP A FILE HERE TO UPLOAD OR CLICK TO SELECT FILES

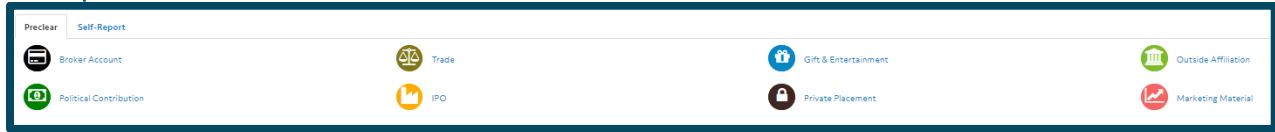
+ Add from my CSI Doc Repository

edit

Preclearance Requests

How to Submit a Request

If you would like to make a preclearance request, select **Preclear** from the Preclear/Self-Report toggle on the top of your Personal Dashboard and click on the type of request.



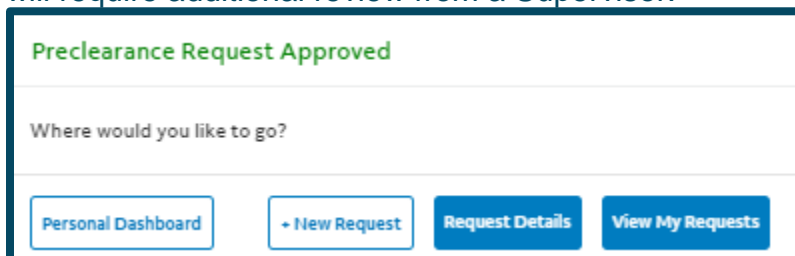
On the request details page, fill in all relevant information about the preclearance request, attach any supporting documentation, and click **Submit**.

A screenshot of the 'New Broker Account Request' form. The form includes the following fields and options:

- Broker/Custodian ***: A dropdown menu with the placeholder text 'Select your option...'.
- Account Number ***: A text input field with a placeholder 'Limited to 500 characters'.
- Is this an existing account? ***: Two radio button options, 'No' and 'Yes'.
- Account Name (Nickname/Description) ***: A text input field with a placeholder 'Limited to 500 characters'.
- Account Holder ***: A text input field containing the name 'Elizabeth Sullivan'.
- Relationship**: A dropdown menu with the placeholder text 'Select your option...'.
- Account Type**: A dropdown menu with the placeholder text 'Select your option...'.
- Supporting Documentation**: A section with a file upload area containing the text 'DRAG AND DROP A FILE HERE TO UPLOAD OR CLICK TO SELECT FILES' and a button '+ Add from my CSI Doc Repository'.

At the bottom right of the form are 'Cancel' and 'Submit' buttons.

After submission, a box will appear summarizing the request details as well as the request status. Some requests will be automatically approved or denied, while others will require additional review from a Supervisor.



Submit a Trade Request

From your Dashboard click **Preclear** from the Preclear/Self-Report toggle and select Trade or select My **Preclearance** > **Add Request** from your left navigation menu and click **Trade** from the add request page.



Fill out relevant details including the transaction type and number of shares. To add the security type, click **Search for Security** and type in the security details. Note: **Search for Security** defaults to “Symbol”, which is not always unique. Simply select the exact Security Identifier (i.e. ISIN, CUSIP, etc.) to render better results or to search by Company Name.

Click **Advanced Search** when searching for options, bonds, or futures, or securities on a limited number of exchanges. Broaden the search by deselecting **Exact Match** and/or clicking on the selected security to confirm the details are correct.

Disclose Approved Preclearance Trade Requests

After a preclearance request has been approved, it is very important to disclose the trade upon trade execution so it can be saved as a **Data Record** in ComplySci. This tells the system that not only was the trade request made and approved, but ultimately that you have moved forward with purchasing or selling the security.

To disclose the approved trade, Click on the specific trade request from **My Preclearance > Preclearance History** or from **Preclearance Requests** on your Dashboard.

Once on the Request Details page, click **Disclose**. Then, review the details and click **Save**. The completed request (Trade, Donation, Affiliation, etc.) will now be saved as a **Data Record**.

Trade Request Details

[Export to PDF](#)

Requested By
Elizabeth Sullivan

Symbol
BBBY

Security Description
Bed Bath & Beyond Inc

Issuer
Bed Bath & Beyond Inc

Security Type
Stocks

Request Date
11/26/2019 12:56:53 PM

Processed Date
11/26/2019 12:56:53 PM

Request Status
Approved

Expiration Date
4/2/2020 11:59:59 PM

Transaction Type
Buy

Quantity
2.00

[View Communications](#) [+ Add Communication](#)

[View Supervisor Notes](#) [+ Add Note](#)

[BACK](#) [Cancel Request](#) [Disclose](#)

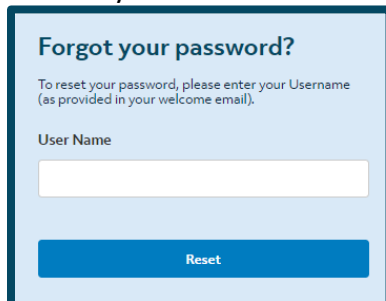
Reset Password

If you forget your ComplySci Password, resetting it is very simple. First, navigate to your ComplySci login page. Under the password box, select **Forgot Password**.



© 2019 Compliance Science, Inc. All Rights Reserved
Privacy Policy Terms & Conditions

Then, enter your User Name and click Reset to trigger a reset password email. Follow the instructions from the email to create your new password. If you forgot your user name, please refer to your *Welcome to ComplySci* email or ask your Compliance team.



User Name

Reset