



Our comprehensive technology solution for managing and monitoring your financial firm's compliance activities.

Introduction

With its intuitive technology and easy-to-use reporting functions, gVue from IQ EQ® offers you an easier path to compliance that ensures you operate within regulatory requirements, as well as company policies.

With this platform, you have the ability to oversee:

- Employees' personal securities trading in publicly traded equities and bonds, private investments, cryptocurrencies and more
- Political contributions
- Outside business activities
- · Gifts and entertainment reporting

Features

Pre-clearance

gVue's customizable requests module allows users to seek approval for trades, political contributions, outside business activities and more. Firm policies are built into gVue, automating the review process.

Certifications and policies

gVue's robust certification builder automates timely reporting of political contributions, gifts and entertainment, and outside business activities. gVue's document repository makes all compliance documents accessible to users.

Dashboard

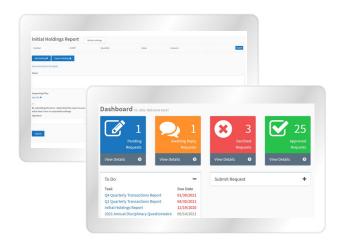
gVue's centralized dashboard concisely displays all outstanding tasks, pending requests and brokerage accounts. gVue's user-friendly interface makes it easy for users to meet their compliance obligations.

Personal trading and deal monitoring

gVue seamlessly links to more than 4,000 brokerages, allowing users to connect their brokerage accounts in seconds. Personal trading data is downloaded on a nightly basis, automating the review process.

Business rules and reporting

gVue's powerful reporting feature allows you to quickly generate compliance review reports and trading summaries for employees to ensure a culture of compliance within your organization.





| | gVue | Paper |
|------------|--|--|
| Privacy | No cash balances, addresses or full account numbers in view | Brokerage statements contain sensitive data |
| Automation | Schedules automated reminders and generates tasks | No reminders; need to create forms quarterly |
| Reporting | Easily produces exports in the event of an SEC audit | Collecting paper delays the audit process |
| Efficiency | Eliminates the need for paper statements with brokerage links. Users submit reports and gVue automatically aggregates all OBAs, gifts, etc. for review | Uploading brokerage statements and verifying disclosures is time consuming |

About us*

We are IQ-EQ, a leading investor services group employing over 4,000 people across 24 jurisdictions worldwide. We bring together that rare combination of global expertise with a deep understanding of the needs of our clients. We have the know how and the know you to support fund managers, global companies, family offices and private clients.

Key contacts

To find out about gVue or to book a demo, please contact JP Gonzalez or Melsa McGarey.



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^{*}Information correct as of 20 April 2021