

VCS Solutions – Capabilities & Features Summary

VigilantCS is an innovative producer of proprietary digital platforms that cost-effectively manage and monitor conduct risk and staff-level compliance. VigilantCS offers three unique solutions.

VCSOpen & VCSOpen+

- Cost-effective compliance
- Improved controls and analytics
- Reduces staff conduct risk

VCSPro

- Behavioural algo and analytics platform
- Driven by insights from FINRA, SEC datasets, in-depth conduct risk research

| Capability/Feature | VCSOpen | VCSOpen+ |
|----------------------------|---------|----------|
| Corporate registry | ✓ | ✓ |
| Location registry | ✓ | ✓ |
| Staff registry | ✓ | ✓ |
| Gift and entertainment log | ✓ | ✓ |
| Co-op marketing log | ✓ | ✓ |
| Complaint and incident log | ✓ | ✓ |
| Compliance calendar | ✓ | ✓ |
| Registration management | | ✓ |



| Capability/Feature | VCSOpen | VCSOpen+ |
|---------------------------------|---------|----------|
| Continuing education management | | ✓ |
| Secured messaging | | ✓ |
| Personal trading | | ✓ |
| Supervision reporting | | ✓ |
| Attestation management | | ✓ |

Available for additional fee. Can be bought as separate program **VCSPro**

| | |
|---|---|
| Staff risk scoring algo | ✓ |
| Integration with other data sets to build 360 ^o review | ✓ |
| Build your own risk scoring algo | ✓ |
| Drill down assessment of staff location and company | ✓ |

Intelligent pricing model to deliver better value.

Contact us today for details.

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