

Life & Health Insurance Staff Compliance Platform

VCS Staff Compliance platform eases agent compliance through automation and digitization of regulatory compliance requirements, decreasing cost, improving controls and providing improved insights into your compliance culture.

VCSOpen & VCSOpen+

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

VCSPro

- Behavioral algo and analytics platform
- Driven by behavioural insights from FINRA, SEC datasets, in-depth conduct risk research
- Proactive capability to be augmented by machine learning

Capability/Feature

VCSOpen

VCSOpen+

Corporate registry	✓	✓
Location registry	✓	✓
Staff registry	✓	✓
Gift and entertainment log	✓	✓
Automated License renewal reminders	✓	✓
Open API	✓	✓
Complaints / Events / Conflicts Log	✓	✓
Compliance calendar	✓	✓
Registration management		✓
Continuing education management		✓
Secured messaging		✓
Errors & Omission Policy Tracking		✓
Conflict of Interest Management		✓
Supervision reporting		✓
Attestation management		✓



Winner of **Best New Comer**

In Grant Thornton's 2019
RegTech Index Awards

IIROC, MFDA and Other Securities Dealers Staff Compliance Platform

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 to help your firm comply with CFR.

VCSOpen & VCSOpen+

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

VCSPro

- Behavioral algo and analytics platform
- Driven by behavioural insights from FINRA, SEC datasets, in-depth conduct risk research
- Proactive capability to be augmented by machine learning

Capability/Feature

(Securities, IIROC, MFDA, Insurance and others)

VCSOpen

VCSOpen+

Corporate registry	✓	✓
Location registry	✓	✓
Staff registry	✓	✓
Gift and entertainment log	✓	✓
Co-op marketing log	✓	✓
Open API	✓	✓
Complaints / Events / Conflicts Log	✓	✓
Compliance calendar	✓	✓
Registration management		✓
Continuing education management		✓
Conflict of Interest Tracking		✓
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.

VigilantCS.com Email: info@vigilantcs.com Phone: (343) 262-1019