

Simply Office 365 Principal Hub



The **Principal Hub** simplifies the compliance management and oversight that a Principal firm must exercise over its Appointed Representatives (ARs).



Centralised Tagged Content

All your compliance information centrally stored, version controlled and accurately tagged and classified. Easily create, publish and distribute compliance policies and manuals to your ARs.



Increased Efficiency

Pre-built workflows alert your compliance team of impending or overdue compliance activities and automatically schedule recurring activities.



Management Oversight

Dashboards enable your senior Compliance Officers to maintain and evidence their oversight and due diligence of your compliance framework.



Improved Collaboration

Improve communication and collaboration between the Principal and their ARs. Remove the need to email documents between the parties as content can be easily uploaded and shared, and automated alerts can keep everyone informed.



AR Portals

Extend the Hub by creating AR specific portals, enabling ARs to securely access and view their compliance information and disclose errors, breaches or complaints.

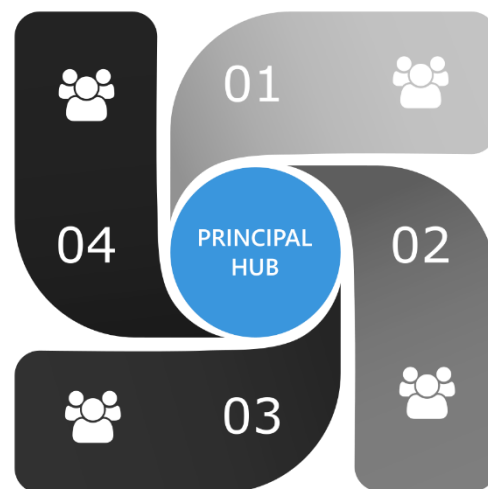


Knowledge Hub

Add a centralised knowledge area for storing internal or external compliance and industry papers.

Standard Features

- Centralised list of your **Appointed Representative** firms. Regulatory classifications and tags enable you to ensure there is no breach of your Principal permissions.
- Principal **Compliance Activities** can be scheduled and assigned to staff. Dashboards and alerts enable you to keep track of your compliance obligations.
- A pre-built **Due Diligence** library supports your AR onboarding activity and enables you to securely store the evidence collected.
- **Industry specific tags** (Type of Firm, Permissions, Regulator) can be attached to all Hub content.
- Purpose designed **Compliance Template Library** for centrally storing and managing all compliance document templates which can be published to your ARs.
- Purpose built **AR Risk Register**, enabling the risk each AR poses to the Principal to be tracked and managed.
- Create, update and publish your compliance **Policies and Manuals** to each of your ARs.
- View and control all active **AR Declarations** via the Policy and Declarations module.
- Centralised view of all upcoming **AR Events** from the connected AR Portals, enabling the Principal to easily maintain oversight and control of activities for each AR.



Principal Hub Extensions



AR Portals



- ✓ **Security** Each of your ARs has **secure authenticated access** to their own portal
- ✓ **Sharing** ARs and the Principal can easily **share information** with each other
- ✓ **Branding** Dual **branding** for both your Hub and for each of your AR sites

- A **Compliance Calendar** can be populated for each AR and tailored to their regulatory permissions and business dates, providing visibility of key dates.
- The AR or Principal can **update** the calendar event to confirm the action has been taken, this generates a **new event** for the following year.
- **Upcoming events** are displayed in the Principal Hub, providing the firm with a single view of all AR upcoming events.
- A **document library** enables the Principal and ARs to upload and share information. **Alerts** inform individuals when new information is uploaded.
- ARs can record "**Compliance Alerts**" such as errors & breaches or complaints. The Principal can review and respond to each Alert.
- Each AR has a filtered view from the Principal Hub of all **policies, procedures, forms and manuals** that apply to them.
- AR staff can disclose **Personal Trades, Gifts and Benefits and Personal Disclosures**. The disclosure service can be configured to require Principal approval for all disclosures made.
- AR staff can view and respond electronically to their individual **Declarations** saving the need to email, print, sign and scan.
- Specific configured libraries can be deployed to support the evidencing of **Financial Promotions** material or **Due Diligence** the AR has undertaken on their clients. Principal approvals can be switched on for each document library.
- A **Monitoring** library enables the AR to securely upload the documents the Principal needs to review as part of its monitoring obligations.

Knowledge Hub



A purpose designed Knowledge Hub for storing, organising and publishing internal and external research and industry documents.

- Replace archaic folder structures with modern **metadata** and **electronic classification** techniques.
- Provide employees with **intelligent views** of recent knowledge articles and powerful search capabilities to find historic information.
- Fully **mobile compatible**, enabling knowledge documents to be accessed when on the move.
- The Knowledge Hub has powerful **news creation and publication** capability enabling knowledge and industry news to be easily disseminated.
- When **AR Portals** are connected, news can be tailored and published on each AR Portal home page.
- Centrally record and track key industry and **Regulatory Events**, and publish these to staff and to ARs through AR Portals.

