

ComplianceManager - Trusted by Leading Banks for Compliance Certification Services

When it comes to the most trusted and reliable platform for SEC and FINRA-compliant certification and verification letters, banks know to call Dealogic.

From easy retrieval of full investor profiles to access to parent and subaccount level certification letters, ComplianceManager provides the best solution to help you manage risk.

Offering the following services:

<p>QIBList, an SEC-authorized central repository of registered QIBs participating in 144A transactions and follow-ons</p>	<p>5130/5131List, a FINRA-recognized, fully automated certification and renewal process for letters for Rule 5130/5131</p>	<p>RegSList, a database of letters, re-certification, and maintenance service of Regulation S</p>
<p>SMMPList, a database of attestations to address MSRB's Rule D-15 (Sophisticated Municipal Market Professional)</p>	<p>SuitabilityList, the most widely-used database of SIFMA Institutional Suitability Certificates, to address FINRA Rule 2111</p>	<p>2242List, a database of certificates to address FINRA's fixed income research rule (Rule 2242)</p>

ComplianceManager is the answer.

Streamlined Workflow Solution

Instantly retrieve more than 50,000 active and 250,000 archived Certificates that can also be integrated with DealManager or your current OMS to optimize workflows and increase efficiency.

Trusted Partner

Dealogic understands what clients need and how to satisfy their requirements, working in close partnership through:

- Sharing best practices
- Dedicated business and technical support
- Tailored product training

