



Inform

Leverage Your Orion Data to Monitor Employee Trade Activity

What is Inform?

Inform is a critical feature in Orion’s compliance tool. With Inform, compliance officers can:



Monitor and compare employee trades against firm-wide trade activity



Maintain and distribute affirmations, certifications, and disclosures related to the Code of Ethics



Track approvals and rejections of gifts, outside business activities, and more

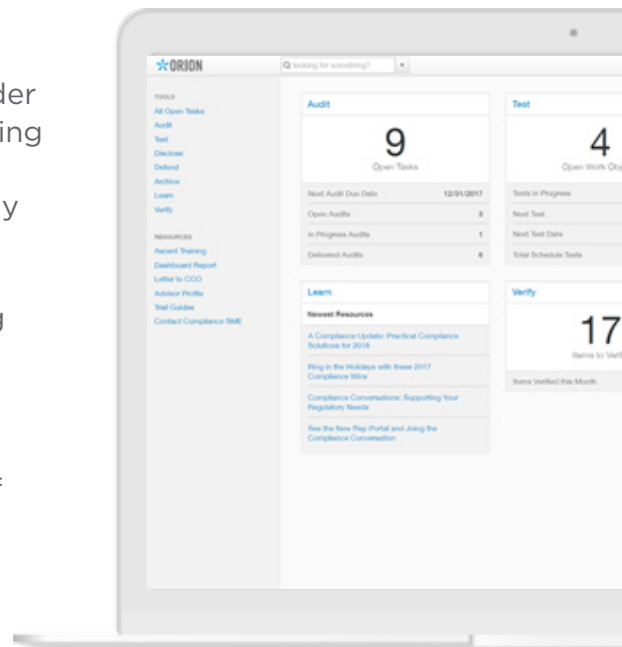


Keep results for easy record keeping and future access for the SEC and state regulators

Why Would Advisors use Inform?

Advisory firms are required to maintain a Code of Ethics under the Advisers Act, including the monitoring of employee trading activities. Inform enables compliance officers to automate employee trade monitoring, while leveraging the data already maintained in Orion Connect to efficiently and proactively identify potential violations. Through an integration with Quovo, firms can monitor employee trades without requiring that employees use a specific custodian. Inform provides an audit trail to confirm compliance with Code of Ethics obligations, which can be sent to the SEC upon request.

Finally, by maintaining compliance data in-house—instead of stacking compliance solutions from third-party providers—firms can eliminate outsourcing costs while reducing the possibility of a data breach.



What are Some of the Other Features of Orion's Compliance Tool?



Organize and produce records for the SEC or state regulatory exams



Conduct routine mock audits of internal policies and processes to test and verify compliance



Schedule recurring queries to supervise firm procedures while monitoring client account activities



View and maintain 13F filing reports and Form ADV reporting information on one convenient dashboard



Screen clients against anti-money laundering lists



Contact Us Today

Ready to regain
compliance control?



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