![EAI information systems logo]

EAI Compliance Module

Manage broker/dealer risk and liability across multiple business lines efficiently, confidently, automatically.

Regulation is not going away any time soon. The key to effective, affordable compliance is an efficient workflow that cuts manual, time-consuming paperwork and associated errors down to size. That's what EAI's compliance software solution offers.

With EAI Compliance, your data is recorded quickly, accurately and securely, transaction after transaction. Our fine-tuned compliance tool automates the review of data in every detail for suitability, licensing, complaints, and completeness. The time you'll save maintaining compliance is freed for revenue-generating activities.

A rock-solid foundation for customization. The core of EAI Compliance provides proven, robust functionality. The top layers are tailored to fit your system resources and operational preferences. It interfaces with all your data sources. You can manage risk across several platforms because disparate data is aggregated. It generates diligent customer and account-level audit trails, too, and integrates all data directly for easy access and for comprehensive and selective reporting using the same familiar user interface. You'll gain the confidence of knowing that your firm, its agents, and reps are fully compliant with a FINRA17a-4 system and a secure SSAE 16 compliant audit system.

Functional highlights:

- Automates determination of trade suitability and red-flags potential problems

- Tracks agent licensing and related issues

- Tracks complaints

- Dynamic, ad hoc querying of customer and transaction data

- Quick, customized reports

Call for a live demo with an EAI representative today.
(503) 644-3057
or email: marketing@ eaiinfosys.com
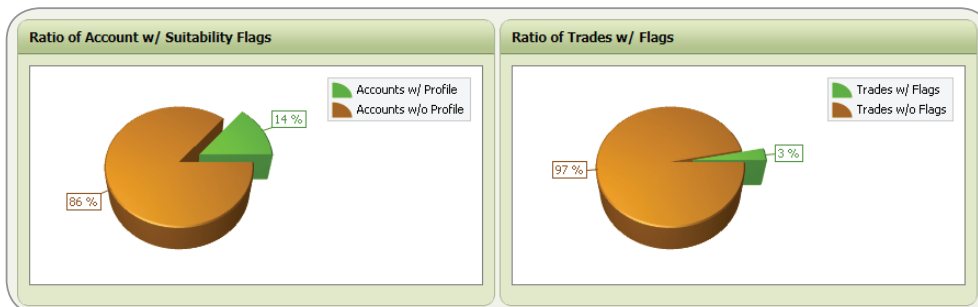
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EAI Compliance Module *features overview*

Suitability:

- Automates determination of customer and product suitability under FINRA and SSAE rules
- Automatically red-flags non-compliant or unsuitable transactions for increased scrutiny and the ability to add and track comments in a separate workflow
- Initiates red flags according to your rules, definitions, and parameters
- Applies red-flag criteria in batch or individual modes

Licensing:

- Tracks licensing, continuing education status, and personal accounts by rep or agent
- Determines agent licensing suitability transaction by transaction

Complaints:

- Tracks complaints registered against an agent, product or office
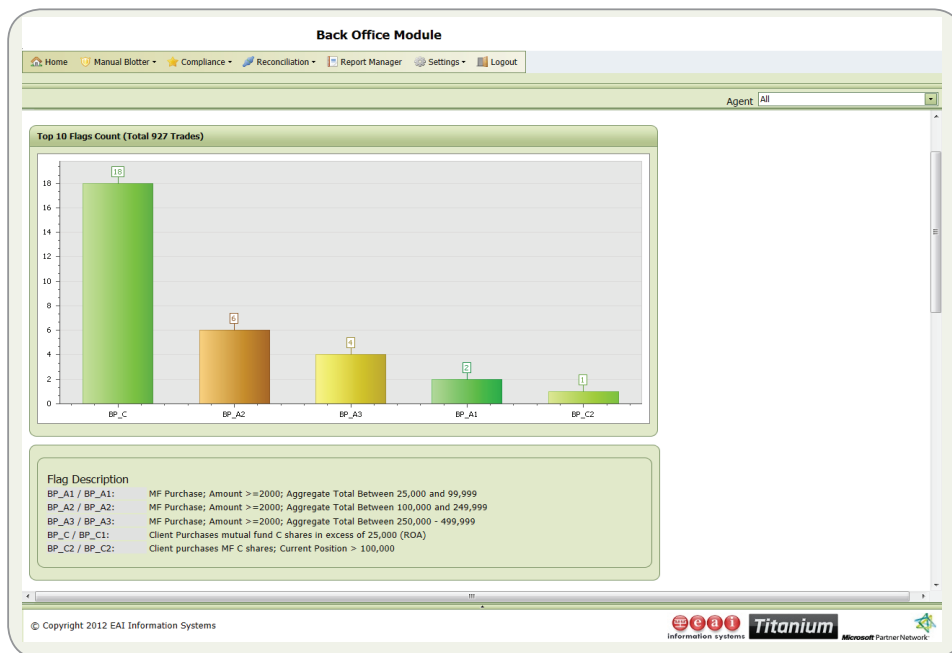- Compares number of complaints to number of sales agent

Forms and Reporting:

- Electronically emulates Investment Authorization Forms
- Provides for dynamic, ad hoc querying of customer and transaction data
- Generates timely, tailored reports like the 36-Month Mailer and Patriot Act report

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Top 10 Flag Chart.
Count and graphically display the ten most common compliance violations within a given date range.

Back Office Module

Home   Manual Blotter   Compliance   Reconciliation   Report Manager   Settings   Logout

Agent: All

Top 10 Flags Count (Total 927 Trades)

Flag Description
BP_A1 / BP_A1:   MF Purchase; Amount >=2000; Aggregate Total Between 25,000 and 99,999
BP_A2 / BP_A2:   MF Purchase; Amount >=2000; Aggregate Total Between 100,000 and 249,999
BP_A3 / BP_A3:   MF Purchase; Amount >=2000; Aggregate Total Between 250,000 - 499,999
BP_C / BP_C1:   Client Purchases mutual fund C shares in excess of 25,000 (ROA)
BP_C2 / BP_C2:   Client purchases MF C shares; Current Position > 100,000

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Violation Flag Breakdown.
Display the compliance details associated with each of the bars on the Top 10 Flag Chart. To access this information, simply click on the associated bar.

Flag Code: BP_A2 - Branch Name: 00377852 Affinity Plus FCU - Begin Date: 09/22/2011 - End Date: 09/26/2012

Export to PDF   Export to Excel   Show Customization Window

Entry Date	First Name	Amount	Commission	Company Name	First Run	Flagged By	Flagged On	Last Run	Modified By	Modified On	Product	Source Of Input	Trade Type	Transaction Date
02/22/2012	KAMI	$50,000.00	$1,400.00	FRANKLIN/TEMPLETON	2/23/2012 12:23 AM	DF160178	02/23/2012	02/23/2012	DF160178	2/23/2012 12:23 AM	FRANKLIN HIGH INCOME FUND CLASS A	507	Securities	02/22/2012
01/06/2012	MERTIE	$49,997.50	$999.95	FRANKLIN/TEMPLETON	1/7/2012 12:21 AM	DF155375	01/07/2012	01/07/2012	DF155375	1/7/2012 12:21 AM	FRANKLIN STRATEGIC INCOME FUND CLASS A	507	Securities	11/15/2011
01/06/2012	MERTIE	$10,228.93	$204.58	FRANKLIN/TEMPLETON	1/7/2012 12:21 AM	DF155375	01/07/2012	01/07/2012	DF155375	1/7/2012 12:21 AM	FRANKLIN MINNESOTA TAX-FREE INCOME FUND CLASS A	507	Securities	09/23/2011
11/25/2011	MERTIE	$58,889.39	$1,177.79	FRANKLIN/TEMPLETON	11/26/2011 12:21 AM	DF150922	11/26/2011	11/26/2011	DF150922	11/26/2011 12:21 AM	FRANKLIN HIGH INCOME FUND CLASS A	507	Securities	09/23/2011
11/25/2011	MERTIE	$58,889.39	$1,177.79	FRANKLIN/TEMPLETON	11/26/2011 12:21 AM	DF150922	11/26/2011	11/26/2011	DF150922	11/26/2011 12:21 AM	FRANKLIN STRATEGIC INCOME FUND CLASS A	507	Securities	09/23/2011
11/25/2011	MERTIE	$58,889.39	$1,177.79	FRANKLIN/TEMPLETON	11/26/2011 12:21 AM	DF150922	11/26/2011	11/26/2011	DF150922	11/26/2011 12:21 AM	TEMPLETON GLOBAL BOND FUND CLASS A	507	Securities	09/23/2011