

# Comply

## Blue Curve

Blue Curve is a sophisticated, yet simple to use, platform that supports the production of financial documentation.

Widely used by financial institutions for financial research production, Blue Curve also supports fund reporting, corporate broking and corporate finance activities.

Blue Curve reduces manual effort and time-to-market, whilst simultaneously reducing operational risk and improving compliance.

## Research Compliance & Disclosures

Producing a research document can be a lengthy and time consuming task. Yet the content is very often time sensitive, so any delay can devalue your efforts and your message.

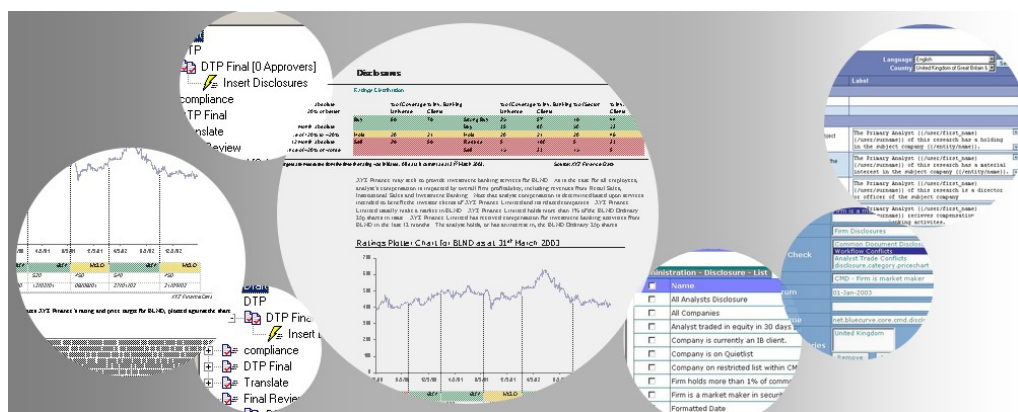
Unfortunately, the continuing demands of regulation and disclosure conspire to increase, not reduce, the production time for research.

Blue Curve Comply provides a platform that helps to automated compliance checking and research disclosure generation. This not only helps to speed up the production process, but simultaneously reduces operational risk inherent in today's manual processes.

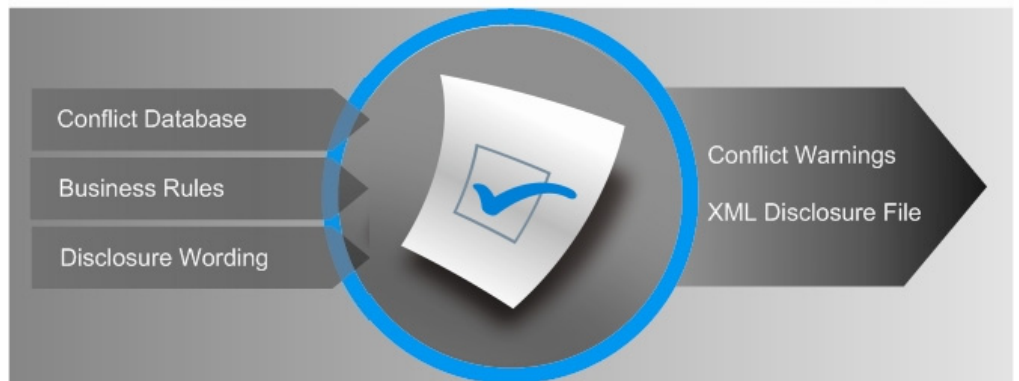
Comply integrates with Blue Curve Process to automatically execute compliance checking and determine the routing of documents based on the results. Further integration with Blue Curve Create automatically inserts a disclosure file into each document during the workflow cycle, reducing manual effort, improving process speed and ensuring consistency.

### Comply Benefits

- Collate all data required for research compliance and disclosure generation into a single source;
- Configure specific business rules to automate compliance checking;
- Integrate compliance checking with Blue Curve Process to determine workflow routing based on the results.
- Generate disclosures automatically using the configurable business rules;
- Produce up to date disclosures using the Comply database and on-demand disclosure generation;
- Manage all data, business rules and disclosure wording through a simple browser interface;
- Seamlessly and automatically integrate disclosure files into Word documents;
- *New for version 5*, make disclosure files available on your website, on demand, through the Blue Curve API.



# Blue Curve Comply



## Blue Curve in Action

Firms using Blue Curve experience significant improvements in their production efficiency and reduced operational costs.

Making use of Comply allows you to introduce a degree of automation in the compliance checking process. Comply allows you to maintain all relevant compliance data in one secure location, such as relationships with covered companies, deal data and quiet lists.

This data is referenced by the Comply business rules to determine whether publishing a piece of research may create a conflict, or potential conflict. The business rule tolerance can be adjusted to your requirements, and the result of the checks can be used to determine workflow routing.

Clients using Comply see upwards of 70% of their research being automatically approved for release, safe in the knowledge that essential compliance checks have been carried out and recorded in the audit trail.

Documents which fail automated checking are routed through Blue Curve Process to the compliance department for manual checking and approval.

Comply also makes Research disclosure a more accurate and highly automated process. The on-demand process constructs a disclosure file for each document with current data, showing customers you're in control.

Disclosure data is automatically inserted into document files at your chosen point in the production cycle. These files can also be made available for inclusion in emails or on web-sites, ensuring consistency.

And to top it all, disclosure data is displayed using your template designs, formats, colours and typefaces further enhancing the professional feel of your research output.

## Unrivalled Technology

Blue Curve Comply is managed through a browser interface. Existing data can be integrated with Comply using the XML based data loaders, and the disclosure file output is also XML based.

Blue Curve can be deployed in a variety of configurations. Many customers choose to implement the software on their own network, using their own servers. However, Blue Curve can also be deployed on a hosted server, managed by Corero, and accessed via the Internet. This option is increasingly chosen by a growing number of our customers as they look to benefit from our expertise in research technology management.

## A Wealth of Experience

Corero is staffed by market professionals who have many years direct experience of working in the financial markets. Our aim is to bring that experience to bear in your business and to continue to deliver added value through the application of ideas, technology and related services.

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